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**Mid-term evaluation of the umbrella
grant awarded to the
Independent Mediation Services of
South Africa**

***Final Report Prepared for
Creative Associates International Inc.***

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EXECUTIVE SUMMARY

The executive summary reflects the major findings and recommendations drawn out of the report of the mid-term evaluation

The umbrella grant is a valuable model for grant-making within South Africa IMSSA/PMU, in consultation with USAID, has developed an appropriate implementation plan that is giving expression to the spirit of the co-operative agreement. The nine sub-grantees are broadly benefiting from the process of involvement in the grant.

Specific findings and recommendations are as follows

➤ Grant-making

- The selection of the priority sector for funding was well executed and local government has proved to be an appropriate focus area
- The solicitation of proposals, issuing of the Request for Application (RFA) and awarding of grants was well conceptualised and implemented. Delays in the process related to the development of appropriate tools and mechanisms and the receipt of appropriate proposals. The dual emphasis on programmatic coherence and institutional capacity reflects the emphasis of the USAID programme. The implementation plan workshops, although not previously planned for, were essential in ensuring coherence of proposals and implementation plans
- The provision of technical assistance and training is a core element of the programme and has been prioritised by the PMU. The demands placed on the PMU for assistance are significant, reflecting gaps in institutional capacity in the sub-grantees. Assistance with regards to financial systems has been particularly helpful. The training plan reflects organisational needs but may not in fact capture all requirements, partly due to the fact that the institutional assessment used during the awarding of grants process did not include a detailed needs assessment. *It is recommended that, in line with activities identified in the workplans and the stated objectives of the sub-grantee workplans, the PMU should conduct a review process to assess whether or not key capacity-building issues of sub-grantees are being addressed. In addition, the timing of courses currently included in the training plan should be reconsidered.*
- Financial monitoring and reporting systems have been put in place in the PMU and sub-grantees. Generally reporting is good, although weaker sub-grantees tend to misunderstand components of the system. Sub-grantees have required significant capacity-building with regards to financial management

- In terms of expenditure, sub-grantees are only in the initial phases of programmatic implementation, but already it is clear that certain line items are not sufficiently budgeted for. It is recommended that when *implementation plans of sub-grantees are reviewed, careful attention should be placed on ensuring that budgetary line items reflect activities outlined in the plans. Specific attention should be placed on the travel line item and any additional items that would support programmatic impact.* Similarly, with regards to the PMU, it is suggested that attention is paid to specific line items such as travel and TA and training.
- Assistance with regards to monitoring and evaluation (M&E) is a core component of the programme. M&E plans have been put in place for all sub-grantees and reporting is taking place according to them. Initial problems with reporting appear to have been sorted out. The nature of the information being captured needs to be examined. *It is recommended that CAII should ensure that the additional tools required, (e.g. for facilitators/fieldworkers) to capture performance related information and to record important data on activities such as workshops, are in place. In this regard, CAII should examine the tools/mechanisms that sub-grantees are using to assess the quality of their training materials, the effectiveness of the train-the-trainer process and the effectiveness of the training of beneficiaries.*
- Training on M&E has been undertaken, with some areas of difficulty being experienced due to differing expectations of the training process. It is recommended that *CAII should undertake further training and capacity building initiatives with sub-grantees (including facilitators who work directly with beneficiaries) to deal with the following*
 - *Improving the quality of the M&E reports/optimizing the use of M&E tools. In particular the capturing of qualitative information through the narrative framework and the capturing of information from workshops and consultative sessions.*
 - *Ensuring that sub-grantees fully understand the database and what data they are expected to capture.*
- The M&E database for the programme is in the process of being finalised, after some initial concerns about its status and design. It is recommended that *CAII should operationalise the database in order to ensure the following*
 - *Easy and direct access to database*
 - *Sub-grantees fully understand the database (data frames) and what data they are expected to capture*
 - *Assessment of the current database and whether it meets the requirements of baseline data. If not, CAII needs to generate mechanisms to capture the necessary baseline data as this will be crucial to the final evaluation. In this regard, the need to capture data regarding institutional capacity (structure, management systems/processes, staffing levels, existing projects, skills/competencies and products) prior to awarding of the grant to sub-grantees is crucial.*

- *Capturing of information regarding technical assistance provided to sub-grantees and how this has contributed to institutional building*
- *Capturing of information on training provided to sub-grantees and how this has contributed to institution building*
- *Capturing of the range/types of materials developed*
- *Capturing of the numbers of beneficiaries trained, broken down by stakeholder grouping (e.g. councilor, youth leader etc)*
- *Capturing of qualitative data In this regard, it is recommended that CAI get assistance from experts in the field who have created data frames using qualitative data*
- *The M&E function is not being clearly integrated into the overall programme design, creating some difficulties in terms of coordination and information sharing between the two parties It is recommended that the project monitor should be appointed as a matter of urgency so as to address the current gaps which exist in terms of M&E being centrally incorporated into the project management process CAI needs to identify a specific timeframe in terms of when this will be done*
- *The development of the Integrated Dispute Resolution System has not involved monitoring and evaluation as an important component It is recommended that proper mechanisms for CAI to actively monitor the IDRS process be defined*
- *The PMU management system and execution of functions is found to be effective and efficient*
- **PMU achievement against workplan objectives**
 - *In terms of achievement against workplan objectives, the PMU has undertaken most activities outlined to date, and have dealt with the delay caused during the grant-making process The short period of the grant places significant pressure on sub-grantees to perform and therefore the PMU should be in a position to constantly assess the nature of support required, to facilitate achievement of programmatic objectives*
- **Compliance with USAID programmatic and financial standards**
 - *Compliance with USAID programmatic and financial standards is in place A constructive working relationship exists between the parties*
- **Sub-grantee management of programmes**
 - *Generally delays have been experienced in the implementation of sub-grantee plans due to an underestimation of the complexity of the local government sector There is a lack of clear planning with regards to train-the-trainer processes The process of negotiating amendments to contracts is*

difficult for weaker organisations *It is recommended that sub-grantee plans need to be reviewed now that there is a greater appreciation of the reality of the local government sector This needs to be done in conjunction with the application for further funding not just on the basis of responding to an unplanned for need, but must be pre-emptive for the duration of the grant This includes responding to the plethora of needs expressed by communities, which often do not fall within the scope of the IMSSA brief Strategy needs to be determined as to how the extraneous issues need to be dealt with*

➤ **Institution Building**

- The structures, processes and systems of the PMU are appropriate for the nature of the work being undertaken Staff have identified where areas of capacity building lie but generally the members of the PMU are highly skilled and effective in their work
- The role of the PMU in capturing the knowledge and intellectual capital developing from the programme is unclear *It is recommended that the PMU, in discussion with sub-grantees, should define a clearer process for integrating new learning and capturing it in a form that will make it accessible to sub-grantees and the broader community On their part, sub-grantees need to indicate level of willingness to share information and work in a co-operative manner*
- IMSSA has benefited as an organisation from the awarding of the grant, both at the level of strategic engagement and through improved systems The PMU staff have played an important role in this regard
- The institutional assessment tool was not initially designed to produce baseline data for the project In addition, it lacks coherence and confuses issues of general organisational capacity with specific capacity relating to the management of the sub-grant It was not systematically implemented across the two rounds of RFAs *It is recommended that the institutional assessment tool needs to be revised as a matter of urgency This should be done in conjunction with specialist expertise in the area of organisational development auditing The PMU and CAII should plan another round of institutional assessments with the specific view to*
 - *establishing proper baseline information (even if the current status includes new capacity that has been built subsequent to the grant- this can be captured)*
 - *establishing the match between current capacity and the existing/changed implementation plan (the following recommendation has to be read in relation to the recommendation on revisiting implementation plans)*
- The umbrella grant has assisted in building capacity in certain regards in the sub-grantees However, a range of additional areas of capacity building require attention, some of which fall within the scope of the programme and

others which are the responsibility of the sub-grantees themselves. It is recommended that sub-grantees need to be proactive in the building of their capacity and should not merely wait for the initiative of the PMU. Training programmes that are valuable or trainers who are excellent, need to be recommended to the PMU and to fellow sub-grantees that may have the resources to contract in the benefit. In short, sub-grantees have to take responsibility for their own capacity building while utilising the support made available by the PMU.

- Review of sub-grantee implementation plans needs to take into account broader issues relating to the impact of their programmes. It is recommended that part of the review of the implementation plans is to build in the valuable processes (including the development of systems, procedures, executive counseling or other) that unfold in the process towards capacity building. The preoccupation with training (even though required by the brief) must be located in a broader context of value adding processes and activity that all sub-grantees are engaging. The impact made includes the value added processes along the way, the kinds of support (even small or seemingly insignificant), the in-depth interactions that prove to be of great help at the end of the day and the interventions needed in what may seem to be mundane issues. These all add up to what the sub-grantee may mean to the beneficiary at the end of the day.
- Sub-grantees need to pay serious attention to the sustainability of their programmes and organisations after the completion of the sub-grant. The PMU should assist with appropriate capacity-building and the development of strategies. It is recommended that the foci of the IMSSA intervention in this regard should be on the following:
 - Assisting the sub-grantee formulate a viable sustainability strategy framework through an organisational development intervention process. This has to focus on short to long term activities that need to be undertaken.
 - Identifying further capacity building needs in helping to ensure the operationalisation of the above-mentioned framework, focusing on the most salient needs to be addressed and drawing sub-grantees together where their needs are the same. The stronger organisations will differ in their needs and may need a separate programme.
 - Organising a workshop for all sub-grantees to facilitate a sharing of ideas and in particular, exploring the idea of partnership formations and joint tendering where feasible.
- Little evidence of programmatic impact currently exists, even with regards to the two sub-grantees on board for a longer period of time.

➤ **Final Evaluation Issues**

- Increased community involvement in conflict management processes needs to be considered in the final evaluation. In order to do this, baseline data in the form of a detailed community profile needs to be collected. The baseline studies need to be conducted as soon as possible, and then the information monitored on a monthly basis.
- An impact assessment with regards to the reduction of conflict within local government and communities needs to be included in the final evaluation. This proposal takes into account the complex nature of conflict and the short period of the grant.
- Positive and negative results of the programme both need to be captured. Examples include the training-of-trainers programme and the manner in which sub-grantees handle issues relating to ownership of intellectual capital arising from the community itself.
- Other impact issues include
 - The extent to which the profile of sub-grantees has been built in communities.
 - The manner in which the umbrella grant compares to both similar and dissimilar programmes.

GLOSSARY OF ABBREVIATIONS

USAID	United States Agency for International Development
IMSSA	Independent Mediation Services of South Africa
CAII	Creative Associates International, Inc
NGO	Non-governmental Organisation
CBO	Community Based Organisation
PMU	Project Management Unit
HDP	Historically Disadvantaged Population
SO	Strategic Objective
IR	Intermediate Result
RFA	Request for Application
TA	Technical Assistance
IDRS	Integrated Dispute Resolution System
M&E	Monitoring and Evaluation
KLTC	King Luthuli Transformation Centre
KBT	King's Basket Trust
QPC	Quaker Peace Centre
CDRT	Community Dispute Resolution Trust
CCR	Centre for Conflict Resolution
NWPLM	North West Paralegal Movement
WFC	Wilgespruit Fellowship Centre
UMAC	Urban Monitoring and Awareness Committee
CCMR	Community Conflict Management and Resolution
ACCORD	African Centre for the Constructive Resolution of Disputes
CPF	Community Peace Foundation

TABLE OF CONTENTS

SECTION ONE	Introduction to the report	1
1 1	Background to the USAID process	1
1 2	Nature of IMSSA's engagement	4
1 3	Location of the Mid-term Evaluation	6
1 4	Outline of the Brief	7
1 5	Composition of the evaluation team	9
1 6	Contents of Report	9
SECTION TWO	Approach and methodology	10
2 1	Introduction	10
2 2	Purpose of the Evaluation	10
2 3	Conceptual Framework	10
2 4	Methodology	11
2 5	Process Undertaken	15
SECTION THREE	Outcomes of Evaluation Findings, Analysis and Recommendations	19
3 1	Grant-making	19
3 2	Institution building	44
3 3	Programmatic impact	55
3 4	Concluding Remarks	57
SECTION FOUR	Final evaluation issues	59
ANNEXURES		
Sub grantee reports		
Evaluation instrument		
Team member CVs		
Mid term evaluation time frame		
List of people contacted and interviewed		
Bibliography of sources consulted		
Reportback to Stakeholders (including presentation)		

SECTION ONE: INTRODUCTION TO THE REPORT

1 1 Background to the USAID process

The United States Agency for International Development (USAID) is an independent government agency involved in providing foreign assistance and humanitarian aid to selected countries in line with the political and economic priorities of the United States

In order to ensure that its grant-making programme was in line with broader political, economic and social changes within South Africa, USAID embarked on a rigorous process of review and consultation, in order to develop a re-aligned programme of action

The choices for the programme were influenced by the following factors

- the Agency's strategies for sustainable development, and Agency and Africa Bureau guidance,
- sector assessments and consultations,
- experience with past programme areas,
- Congressional interest areas as represented by legislative or budgetary earmarks or targets,
- the Mission's judgements concerning its ability to achieve results given likely resource constraints including programme budgets, staffing and operational budgets,
- relative focus of other international donor programs,
- opportunities for appropriate support of South Africa's priority areas,
- extensive, interagency and Congressional consultations, and
- comparative advantage¹

USAID's review and approval of the South African Mission's March 1993 Concept Strategy Paper, reaffirmed a focus on political, social, and economic empowerment of the disadvantaged majority population. Specific areas of intervention identified included community development, human rights, democracy, basic and higher education, health, private sector development, and shelter and urban services provision

The Mission's rethinking of its portfolio involved extensive and structured consultations with customers and partners. These consultations served to ground the strategy by ensuring its relevance to South Africa and confirming the validity of its development hypotheses. The establishment of the U S - South Africa Bi-national Commission, aiming at fostering linkages and good relations between the two countries, served to support the programmatic direction being formalised in the selected goal of the Mission

¹ USAID homepage, www.info.usaid.gov

In terms of the adopted strategic plan, covering the period 1996-2005, the stated mission goal of USAID is support for sustainable transformation. The strategy is a "graduation" or "completion" strategy. There is a general shift in the strategy's emphases over the ten-year period. Programmes focused on sustainable sectoral transformation of the private sector, housing, and health will be completed by 2000 to 2003. After this, the program will concentrate on sectoral transformation in education and structural transformation in governance and economic policy designed to ensure an environment for long-term development and growth. In terms of the programme, sustainable transformation will have been achieved when,

"South Africa is at the point where democracy is sufficiently consolidated, basic systems and policies for social service delivery in education and health are moving from being fragmented to being unified, and institutions are establishing mechanisms so that the historically disadvantaged and previously disempowered women and men participate in, contribute to, and benefit from the development of South Africa."

The sub-goal of the programme is political, social, and economic empowerment, focusing on the empowerment of previously disadvantaged individuals.

The South African Mission goal and sub-goal are captured in the six strategic objectives of the programme:

- Democratic institutions strengthened through civil society participation
- Transformed education system based on equity of access and quality
- More equitable unified sustainable system delivering integrated PHC services to all South Africans
- Improved capacity of key government and non-government entities to formulate, evaluate and implement economic policies
- Increased access to financial markets for the historically disadvantaged population (HDP)
- Improved access to environmentally sustainable housing and urban services for the HDP

All programming undertaken by USAID falls within the arena of one of the six strategic objectives.

As a donor organisation, USAID works through a number of mechanisms by which it disburses funds in line with its strategic objectives. These are as follows:

- **Contract**

Awarded through a tendering process (Request for Proposals) to an organisation which then performs services on behalf of USAID, e.g. the conducting of monitoring and evaluation processes

- **Co-operative agreement**

Agreement in which USAID designs a programme which is then implemented by a contracted party. USAID maintains a high level of involvement

- **Grant**

Involves the allocation of funds to an organisation (usually an NGO) to undertake programmes designed and developed on its own. USAID has limited involvement in programme design, but does require the undertaking of an evaluation

- **Bilateral Agreement**

Involves government-to-government support

Historically USAID has made use of contracts, grants and government-to-government support in South Africa. USAID has now re-conceptualised its grant making strategy and is piloting the umbrella grant. Essentially the umbrella grant is a co-operative agreement through which the donor agency provides funding to an intermediary body which is then in turn responsible for all sub-granting and grant management activities in relation to non-governmental organisations (NGOs) and community-based organisations.

The motivation for adopting this approach is that over the past years USAID has been dealing directly with a large number of NGOs. The extent to which sufficient support could be given to each grantee, especially in cases where extensive support was required, was in question. This reality, together with successful examples in other countries of utilising inter-mediaries, convinced USAID to pursue the umbrella grant principle in South Africa. The umbrella grant allows USAID to remain involved with key delivery agents at a community level, while building the capacity of a local organisation to directly manage grants.

USAID elected to pilot the concept within the arena of Strategic Objective 1 "Democratic Institutions Strengthened through Civil Society Participation", focusing on building the capacity of organisations to strengthen processes and mechanisms that facilitate the addressing of conflict and violence through mediation, negotiation and conflict resolution.

1 2 Nature of IMSSA's engagement

In order to appoint the umbrella organisation, USAID conducted a competitive bidding process, of which the Independent Mediation Services of South Africa (IMSSA), in conjunction with Creative Associates International Inc (CAII), as a sub-contractor, was the successful tenderer

IMSSA is an NGO, established in 1984, and focusing on conflict resolution and facilitation of developmental initiatives. The programmatic focus of the organisation has five components: voter education for national, local and regional elections, elections and balloting services, community and conflict resolution, industrial dispute mediation and arbitration, and the training of dispute and conflict specialists²

As an NGO itself, IMSSA recognised the need for exploring new avenues to secure its own sustainability as well as that of other NGOs in the sector. It believed that it could make a vital contribution to the field of conflict resolution and mediation by supporting and strengthening other South African NGOs working in this field, while building new capacity and developing new skills in-house.

The contract between USAID and IMSSA was signed on 8 October 1996, to the value of \$3,000,000. In order to effectively manage the grant, IMSSA established the Project Management Unit (PMU), as a discrete, but integrated unit within IMSSA. Composed of a Head, Accountant, Technical Support Adviser and Administrator, the PMU has direct line management responsibility to IMSSA's National Director³, while a special sub-committee deals with grant recommendations.

The PMU has three primary responsibilities, originally defined as follows:

- Managing the granting of funds to NGOs / CBOs working in the field of conflict management and dispute resolution
- Developing and implementing effective capacity building programs for the sub-grantees in the implementation of their program activities in the conflict resolution sector A2
- Providing technical support and training for the sub-grantees where needed

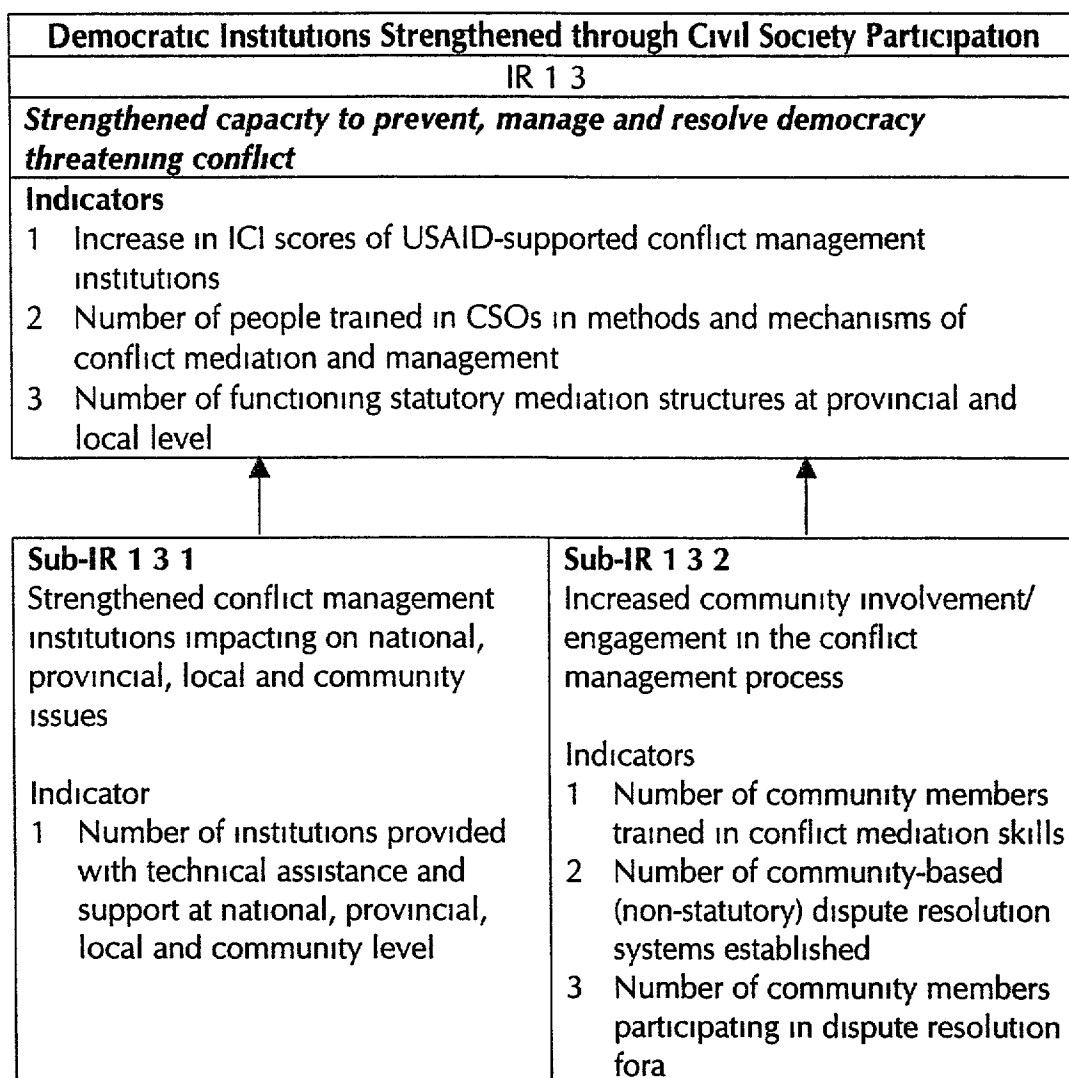
IMSSA resisted taking responsibility for the second responsibility noted above and, after negotiations, USAID agreed to redefine it as effective capacity building of sub-grantees in moving towards sustainability. The reasons given

² Section 2.2.2, Attachment 2, IMSSA contract with USAID

³ Section 2.4.1.1, Attachment 2, IMSSA contract with USAID

for need to change the emphasis was that within the short time period of the grant, sustainability of organisations could not be a reasonable outcome by which to measure IMSSA's performance

In order to ensure that clear outcomes were defined for the programme, the following results framework was developed and agreed upon through a process of negotiation⁴



The focus of the umbrella grant is therefore on building the capacity of local organisations to make strategic interventions into the area of conflict and dispute resolution

The contract between IMSSA and USAID outlines a number of key activities, forming part of the implementation plan

⁴ Performance Monitoring Plan

- Consultations
- Core Reference Group
- Research on Priority Funding Areas and Trends in the sector
- Solicitation of Applications
- Advertising of RFAs
- Assessment of RFA Proposals
- Award of Sub-Grants
- Administration of Sub-Grants

More detailed analyses of each of these will be undertaken in the relevant sub-sections of Section Three

1.3 Location of the Mid-term Evaluation

Through the sub-contract referred to above, all monitoring and evaluation components of the grant are managed by CAII

A contract was signed in April 1997 between CAII and IMSSA. The following tasks were outlined

- Develop monitoring, reporting and evaluation instruments including all necessary tools, indicators, survey protocols and reporting forms
- Train IMSSA and sub-grantees in the use of the above tools
- Develop monitoring and reporting plans for IMSSA/PMU and each sub-grantee
- Collect and maintain base line and monitoring information on each sub-grant
- Report to IMSSA/PMU at intervals to be agreed in the workplan but no less than on a quarterly basis
- Conduct a midterm project evaluation including report
- Conduct a final project evaluation including report

In terms of activity 4.5, as outlined in the PMU workplan, CAII is responsible for conducting a mid-term evaluation of the programme, to assess the manner in which grant-making has been undertaken, the extent to which capacity building at the level of sub-grantees has taken place and the potential for impact at the community level to be achieved

The following report reflects the findings of the mid-term evaluation process

1 4 Outline of the Brief (Mid-term Evaluation)

The purpose of the mid-term evaluation is to assess areas of performance, captured within four broad areas

- Effectiveness, timeliness and appropriateness of the processes that IMSSA's PMU has put in place for grant making and management,
- Effectiveness and appropriateness of IMSSA's planning for, and implementation of, training for sub-grantees and its own capacity building,
- The extent to which the capacity building provided has assisted the sub-grantees in implementing their programmes under the umbrella grant,
- The degree to which the programme is likely to achieve impact in establishing and bolstering conflict resolution mechanisms at community level

The detailed brief of the evaluation team consists of the following areas of inquiry⁵

➤ Grants Making and Management for Local Government Conflict Management and Resolution

- Assess the degree to which IMSSA and its contractors have been effective in all areas of grants management including
 - *Selecting priority sector for funding*
 - *Awarding grants*
 - *Providing technical assistance (TA) and training to grantees*
 - *Monitoring and evaluation*
 - *Financial monitoring*
- The PMU's achievement against its work plan objectives
- To what degree has grants management through the umbrella grant met USAID's standards of programmatic and financial accountability?
- Assess sub-grantee management of their programmes, and their overall performance

⁵ CAII, 'IMSSA Umbrella Grant Mid-term Evaluation Scope of Work', pgs 3-4

➤ **Organisational Strengthening and Sustainability**

- Were the areas selected for institutional strengthening appropriate areas for intervention? How has staff training in these areas contributed to institutional strengthening?
- Assess the relevance, timing and quality of the training and TA provided for IMSSA staff and for sub-grantees. In what way was the training and TA particularly successful, and how could it be improved?
- To what degree has the training provided IMSSA and sub-grantee staff in conflict management, facilitation, negotiation and dispute and process design increased their capacities in these areas? How has this increased capacity been demonstrated?
- To what degree has the umbrella programme contributed to promoting IMSSA's organisational programmatic and financial sustainability?
- Based on assessment of program implementation and results to date, to what degree is the umbrella programme and IMSSA's technical support likely to contribute to promoting sub-grantee organisational, programmatic and financial sustainability?

➤ **Programmatic Impact**

- Based on programme implementation to date, assess the degree to which the umbrella grant programme has been successful in developing
 - Sustainable models for identifying conflict management and dispute resolution needs
 - Increasing understanding among local government and communities of respective roles and responsibilities
 - Effective and sustainable model for dispute resolution systems within local government and communities

➤ **Final Evaluation Impact Issues**

Consider whether, given the current direction of the programme

- 1 These issues are appropriate for consideration in the final evaluation
 - 2 What baseline, data collection and additional monitoring will be needed to track them?
 - 3 What other impact issues should be considered during the final evaluation?
- What evidence exists that the programme, and particularly the dispute resolution systems arising from it, has increased community involvement in conflict management processes?
 - Is there evidence that the programme has been successful in reducing conflict among local government and communities?

- Have there been other positive results of the programme, such as improved local authority service provision? Have there been negative results?
- Organisational strengthening and sustainability relevant to sub-grantees and the PMU
- Final evaluation impact issues

1 5 Composition of the evaluation team

An evaluation team of four persons was contracted to undertake the above mentioned assessment according to the brief. The evaluation team comprises of the following skill arenas

- Local government expertise represented by Glenda White
- Evaluation specialisation, represented by Shaun Samuels
- Grants management expertise represented by Yves Wantens
- Methodology expertise represented by Gary Moonsammy

The team has combined its resources and expertise to fulfil the brief as outlined above. The evaluation team will provide an objective assessment of its findings and will put forward recommendations that will assist the PMU, its sub-contractor and its sub-grantees in refining existing interventions and processes.

1 6 Contents of Report

The research methodology applied is reflected in *Section Two* of the report, including the process of investigation followed and the sampling frame developed. The findings, analysis and recommendations are synthesised in *Section Three*, according to the areas outlined in the brief (see above). Final evaluation issues are contained in *Section Four*.

Individual sub-grantee reports are attached as direct appendices to the report. The evaluation instrument, list of people interviewed, curriculum vitae of team members and bibliography of sources consulted are also included as appendices. Additional key documentation is included in Volume Two of the report.

SECTION TWO: APPROACH AND METHODOLOGY

2.1 Introduction

Section Two outlines the purpose of the mid-term evaluation, the conceptual framework underpinning the approach and the evaluation methodology selected as appropriate to achieving the aims of the process

2.2 Purpose of the evaluation

In designing and selecting the methodology, the evaluation team defined the purposes of the evaluation as follows

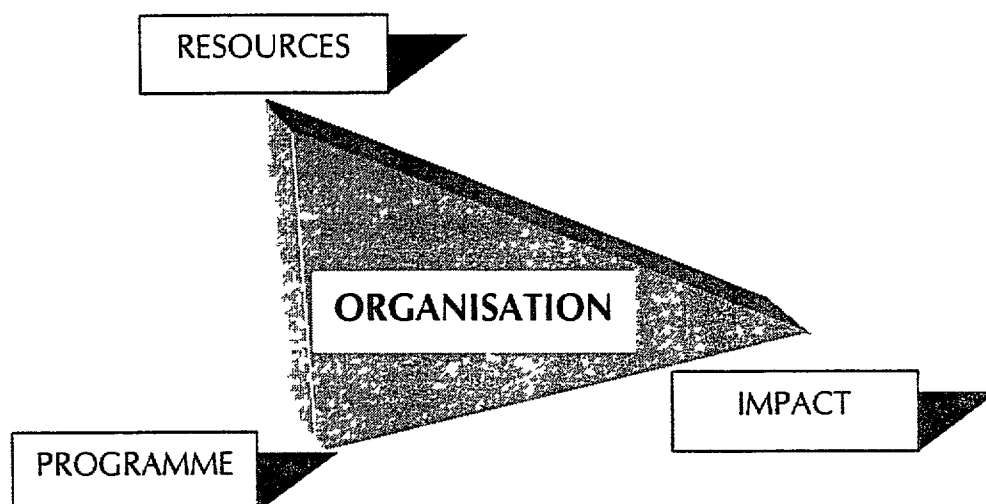
- To evaluate the PMU's organisational capacity to manage the programme effectively
- To evaluate the approaches, scope and objectives of IMSSA's facilitated intervention
- To evaluate the impact of the project against the outcomes determined by IMSSA
- To identify the strengths and weaknesses of the programme
- To evaluate the extent to which IMSSA through the umbrella grant has contributed to enhancing the capacity of the sub-grantees
- To make recommendations that will assist the organisation to improve its interventions so that it can be implemented successfully and for the optimal benefit to the targeted groups
- To identify issues to be included in the final evaluation

2.3 Conceptual framework

In light of the identified purposes of the evaluation, the conceptual design of the process was based on three key pillars, reflecting organisational functioning. These include the following

- Programme
- Resources
- Impact

This is illustrated below



The three components are dynamically inter-linked and inter-dependent. Essentially the programme component responds to identified needs and formulates strategic objectives (intentions) that are realised through activity with corresponding key results. Resources, on the other hand, refer to human, financial, infrastructure and other that represent the inputs needed to activate the programmes. The combination of resources and programmes effectively deployed ensure that the planned impacts are realised.

The above mentioned conceptual framework was used to form the basis of the evaluation instrument design, analysis and the formulation of recommendations.

2.4 Methodology

2.4.1 Introduction

Before undertaking an evaluation of any programme it is important to obtain as much information about the programme as possible. Some issues to be addressed are:

- the projects' conceptualisation, aims and design
- the implementation of the project
- the projects' utility and impact

2 4 2 Methods of evaluation

The first method of evaluation utilised was **Planning Evaluation**. The purpose of the planning evaluation was to develop an understanding of the programme's goals, the administration of the facilitated intervention, the strategies employed to implement this intervention, the time-frames, the target groups and the core and specific outcomes of the intervention. In using this method the evaluators began the process of describing the major goals of the IMSSA/PMU programme, the activities, the participants, the major stakeholders, the resources, the timeliness, the locale and the intended accomplishments.

Summative Evaluation was the second form of evaluation used. This involved interviewing all the relevant stakeholders (the sub-grantees, the lead contractor and the subcontractor, the donor organisations and programme recipients) to assess the impact of the programme and how the umbrella grant has contributed to the strengthening of the institutional capacity. In addition, the summative evaluation focussed on the grant making process.

2 4 3 Types of evaluation

The first type of evaluation used was an **Evaluability Assessment**. The main thrust of an evaluability assessment is to determine whether IMSSA's intervention was conceived and operated in a way that allowed for a systematic evaluation. Undertaking an evaluability assessment assisted in clarifying:

- The programme's objectives and outcomes
- The primary focus of the intervention
- The core and specific outcomes of the intervention
- The activities that took place and the methodology employed in the implementation of the intervention
- The changes in the participants because of the intervention

Impact Evaluation was the second type of evaluation conducted. Impact evaluation is an important tool for learning and it was integral to the intervention management process. It involved a judgement of the project by the participants attending, about whether the project's purposes have been achieved or not. Impact evaluation also involved a judgement made by the evaluators, the sub-grantees, the lead and sub-contractor, about the programme, its management and interventions. Impact evaluation also helped determine the impact that the programme has on the sub-grantees' respective organisations as well as on the primary programme recipients (Traditional Leaders, Local Government officials and CSOs). In utilising impact evaluation, the evaluators determined the value of IMSSA's

endeavour in terms of strengthening the institutional capacity to prevent, manage and resolve democracy threatening conflicts

2.4 4 Evaluation design

The evaluation designs used throughout the evaluation were both qualitative and quantitative. The qualitative design was used as it was considered the best way for the evaluators to describe the intervention, the observation and the processes that took place. The quantitative design allowed for an analysis of the financial information and the assessment of the activities and processes within the programme against the predetermined set of indicators.

2 4 5 Sampling Frame

The sampling frame was determined based on the reality that most of the sub-grantees have only recently initiated their programmes. This implied that it would be more feasible to engage the beneficiaries of the organisations that have been active for a longer period. For those organisations with more recent programmes, the beneficiaries would be engaged where feasible but the focus would be more geared towards the organisation itself. This implied that the category of interviewees differed according to the status of the organisations.

The categories of persons determined had to include personnel who were managing the project, those managing the finances and administration, the field workers / trainers and those directly benefiting as the clients of the project. This, it was argued, will provide a fair picture of progress made to date by sub-grantees and other stakeholders such as Creative Associates, PMU and USAID.

The categories of persons that were identified included the following:

- **Directors / leaders of the relevant organisation / institution**
The directors of the respective organisations were important to engage especially on issues pertaining to the sustainability of the organisation, of the programmes and finances.
- **Project co-ordinators/Managers**
These are the managers of the projects and have to account for the success and achievements related to their projects. The co-ordinators were identified as the key informants in this mid term evaluation process.

- **Field co-ordinators/facilitators and trainers**
These represent the operatives in the field doing the actual work towards achieving the set results but do not exclude the Project Co-ordinators who are active in the field as well
- **Accounting and administration staff**
These staff members are critical to understanding the grant-making process in terms of budgets and expenditure, disbursements, variations to budgets and other
- **Project clients / beneficiaries**
The clients are the reason the organisations and services exist in the first place and are therefore the ultimate test as to whether impact has been achieved

2 4 6 Evaluation instrument

The conceptual framework discussed above formed the basis for developing the evaluation instrument (attached as an annexure) The instrument, being a questionnaire guide for the interviewer, consisted of a series of open-ended questions that qualitatively elicited responses, views and arguments concerning two key areas of focus namely

- The grant making process
- Institutional strengthening and programmatic impact

The development of the instrument was a team effort where individual team members were required to complete a section The design of the instrument is in the form of open-ended questions that need to be used flexibly depending on the stage of development of the sub-grantees

The instrument has been divided into the following sections

Section 1

This section focuses on grant-making with a particular focus on the PMU and Creative Associates Elements of this section include

- PMU and Creative Associates in terms of their effectiveness
- USAID standards – programme / financial
- Sub-grantees – management of their programmes

Section 2

This section focuses on organisational strengthening and programme impact

- PMU and Creative Associates
- Sub-grantees

The instrument as a guide has been used differently by each interviewer. An element of constraint identified referred to the fact that all sub-grantees are at different stages in their delivery progress. Two of the sub-grantees namely CDRT and NWPLM have been functioning for some time regarding their grants whereas the rest have only come on board recently. Some of the grantees have just about started their processes. The above reality compelled the interviewers to use the evaluation instrument appropriate to the projects under discussion, which meant that in certain instances some of the questions (e.g. regarding impact) could not be asked. While there has been a range of differing responses, the conceptual framework as the underpinning has helped to synthesise information into coherent outcomes.

Information has been gathered and validated through a variety of means including

- Documentation and reports
- Site visits to sub-grantees and their beneficiaries where feasible
- PMU, USAID, IMSSA and Creative Associates staff
- Telephonic engagements

2.5 Process Undertaken

The following process was undertaken to complete the mid-term evaluation

Phase 1 Design and Document Review

ACTIVITY	METHODOLOGY	OUTPUT
Introductory meeting between client and team	Group Discussion between team of evaluators, CAII and IMSSA	<ul style="list-style-type: none"> • Clear understanding of the evaluation brief • Handing over of documentation
Workplan development	Group planning session	<ul style="list-style-type: none"> • Workplan outlining approach, activities, timeframes and outputs
Conceptual Design and Confirmation of Methodology	Group discussion	<ul style="list-style-type: none"> • Conceptual framework forming the basis for instrument design
Submission of Workplan		<ul style="list-style-type: none"> • Workplan document
Instrument Design	<ul style="list-style-type: none"> • Design of sub-sections of the instrument by individual evaluators • Group consolidation 	<ul style="list-style-type: none"> • Evaluation instrument
Document Review	<ul style="list-style-type: none"> • Reviewing of all documentation by each evaluator 	<ul style="list-style-type: none"> • Critical issues and areas of investigation reflected in the instrument design

Phase 2. Data Gathering and Validation

ACTIVITY	METHODOLOGY	OUTPUT
Data Gathering from Donor Agency and Grantee	<ul style="list-style-type: none"> • Preliminary interviews with key personnel in USAID, IMSSA, CAII • Sourcing of additional material 	Preliminary information gathered from donor and grantee
Data Gathering from Sub-grantees and beneficiaries	<ul style="list-style-type: none"> • Face-to-face interviews with key personnel of nine sub-grantees, identified beneficiaries and relevant stakeholders and two organisations withdrawn from process • Telephonic interviews with some beneficiaries to validate information gathered • Sourcing of additional material 	Detailed information gathered from sub-grantees and beneficiaries
Validation of Instrument and Preparation of Annotated Report Outline	Team discussion	<ul style="list-style-type: none"> • Evaluation instrument validated • Problem areas identified and communicated to CREA • Annotated report outline developed
Submission of Annotated Report Outlined		<ul style="list-style-type: none"> • Annotated report outline
Consolidation of Research Findings	Follow-up interviews with USAID, IMSSA and CAII, based on information gathered from sub-grantees and beneficiaries	<ul style="list-style-type: none"> • Consolidation of research findings

Phase 3 Analysis and Reporting

ACTIVITY	METHODOLOGY	OUTPUT
Preparation of Sections for Final Report	Sections written up by individual evaluators	Information gathered during Phase 2 consolidated in written form
Submission of sections		Sections submitted to team leader for consolidation
Consolidation of research findings for draft report	Individual sections synthesised into format for draft report	Initial draft report
Finalisation of draft report	Group discussion to collectively synthesise findings and recommendations	<ul style="list-style-type: none"> • Clear understanding of the overall findings of the evaluation • Identification of any possible follow-ups required • Agreed upon recommendations
Editing and layout of final report		Draft report
Submission of draft report		Draft report
Comments received from PMU and CREA		Detailed comments about the draft report
Consolidation of final report	<ul style="list-style-type: none"> • Group discussion, if necessary, to address issues raised through the comments • Editing and layout 	Final Report
Submission of Final Report		Final Report
Presentation of Findings	Summarised presentation of findings and recommendations to IMSSA, CAII and USAID, sub-grantees	Reportback process to organisations involved in evaluation completed

SECTION THREE: OUTCOMES OF EVALUATION: FINDINGS, ANALYSIS AND RECOMMENDATIONS

In order to provide a logical and synthesised approach to reporting the outcomes of the mid-term evaluation, the following approach will be followed

Findings in each of the three key areas that are listed below are outlined

- Grant making
- Institution building
- Programmatic impact

Findings are captured as statements in bold. Analysis is applied to the findings in each of these areas and where appropriate, specific recommendations are made

The findings are drawn from document review and primary information gathering through face-to-face and telephonic interviews. The sub-grantee reports attached as appendices to the main report are summaries of interviews conducted, with some cursory analysis of documentation. Detailed analysis is located in the main text of the report.

3.1 Grant-making

3.1.1 Assessment of the degree of effectiveness in the grant-making process

3.1.1.1 Introduction

The process of selecting and appointing IMSSA as the umbrella organisation is outlined in Section One and will not be repeated here.

The key challenge to USAID in employing the umbrella grant strategy lies in the concept of accountability and responsibility, both on the part of the umbrella organisation and the Agency itself. The justification for employing the approach is based on the argument that local capacity can most effectively be built by utilising an indigenous organisation as intermediary grant-maker. The indigenous organisation, it is argued, understands the context within which NGOs and CBOs work and can therefore provide appropriate support. This justification can, however, be challenged with the argument that by making use of an intermediary, USAID reduces its direct accountability for the inability of NGOs and CBOs to deliver, and for any difficulties that may arise through the implementation of the programme.

The evaluation process has reflected a clear commitment on behalf of USAID to build the capacity of IMSSA as the intermediary, and to provide appropriate support to ensure that it is able to fulfil its functions. It is also clear that USAID works within a tight framework of accountability itself and that actions on its part, seen as attempting to avoid accountability, would be challenged.

A productive working relationship has developed between IMSSA and USAID. Over the past 12 -14 months, IMSSA has gone through an intense learning process and has emerged as a successful grant-making medium that is also attributed to the dynamic team in place in the PMU. The mid-term evaluation of the current project has demonstrated that the umbrella grant process has a number of potential advantages.

It is a viable mechanism to support a broad range of developmental processes without sacrificing the key principles of meaningful support and delivery accountability. It thus allows the agency the room to play a more strategic role (e.g. looking at how to integrate its various development initiatives either in terms of practice or outcomes).

It allows for capacity to be built at three levels:

- Grantees - grant management and project management capacity is built in local institution (historically the domain of donor agencies)
- Sub-grantees - capacity of service providers to deliver high level service and products (in a sustainable manner) is also built
- Sector specific - it allows for the mobilising of initiatives and support in an integrated manner to ensure the development of a sector as a whole (e.g. local government)

The detail that follows includes the effectiveness of the PMU in dealing with its stated activities, in particular the selection of the priority sector, solicitation of proposals, awarding and appraising of grants, assessment of organisations, TA and training, financial monitoring, monitoring and evaluation and overall management.

3.1.1.2 Selection of the priority sector

Section 2.4.1.2 III of Attachment 2 to the contract between USAID and IMSSA refers to the identification of the priority sectors requiring intervention.

The process of identifying the priority sector was well thought through and executed.

A proposal was made by IMSSA and approved by USAID as to the strategy in selecting the priority sector. Two important components of the selection of priority sectors were the undertaking of research and the conducting of consultative workshops.

The initial research process⁶ involved

- (i) interviews with government officials, NGOs, independent commissions, community dispute resolvers, academics, labour and business
- (ii) questionnaires to dispute resolvers and NGOs
- (iii) literature search on secondary materials⁷,

Out of the research process, four possible priority sectors were identified

- education
- crime prevention
- public transportation (taxi violence)
- local government

Additional secondary sectors were also identified

Following a focus group discussion with NGOs, key opinion makers in conflict management, USAID and CAII, the proposal to fund one sector, namely Local Government, gained consensus.

The process of prioritising provinces was similar and North West, Eastern Cape, Free State, Northern Province and Mpumalanga were eventually chosen. The criteria used included

- rural
- incorporation of former homelands
- high poverty rate coupled with low level of skills and knowledge,
- predominance of traditional leadership
- none or limited number of NGOs and CBOs involved in conflict management⁸

⁶ Tanya Venter of IMSSA, "Initial Research to Determine Priority Conflict Areas for Funding – Research Findings", December 1996

⁷ Further detail on the methodology adopted is found in the Methodology section, attached as an Annexure to the main report

⁸ IMSSA PMU, Request for Application, s1 4 1

Through applying the above criteria, provinces with high levels of conflict, but which were already well-resourced by NGOs and CBOs were not included as priority sectors, i.e. Gauteng, Northern Cape, Western Cape and Kwazulu-Natal⁹

The importance of this process is reflected in the fact that if the selected sector was contested at a later stage, the effectiveness of the entire programme would be called into question

The identification of local government as the target sector has proved to be appropriate. This is reflected in the response NGOs have received in their geographical areas of focus. In general, they have been inundated with requests for assistance and are concerned that they will not be able to meet all expectations placed on them. In terms of provincial focus areas, some NGOs (e.g. KLTC) have reflected the desire to work in other provinces, such as Kwazulu-Natal. However, it is generally accepted that some form of prioritisation had to be utilised.

3.1.1.3 Awarding of Grants

Four key activities are outlined in the contract between USAID and IMSSA governing the awarding of grants. These include:

- Solicitation of Applications
- Advertising of RFAs
- Assessment of RFA Proposals
- Award of Sub-grants

Each of these activities is discussed below.

The Request for Applications and process followed in the solicitation of applications reflected an understanding of the current context of NGOs and an ability to attract appropriate organisations. The RFA was found to be a well worked out framework and was clearly and simply documented. The engagement process undertaken was clear, simple and transparent.

An initial road show in the four provinces, followed by a Request For Application (RFA) in a number of newspapers, constituted the solicitation procedure. The RFA form was designed by PMU with comments from CAII and USAID. Its "user friendly" style was deemed necessary for accessibility purposes and was one of the requirements specified in the contract.

⁹ IMSSA, PMU, Request for Application, s1.4.2

The RFA outlines the scope of work, general conditions of eligibility, acceptability factors, beneficiaries to be served, sub-grant schedule, level of funding, instruction for submission, specific requirements, selection of proposals, monitoring and evaluation, application form (including guidelines and description of budget items)

The screening process undertaken focused on appropriate issues relating to the grant, as well as reflecting recognition of potential

All proposals were screened by the PMU to assess their appropriateness to the priority sector, province and key areas of intervention. The eligible proposals were further assessed by an internal selection committee consisting of PMU staff, CAII and IMSSA personnel. Preliminary criteria, all of which organisations had to meet in their proposals in order to be eligible for further assessment included

- Coverage of the local government sector
- Coverage of the selected provinces
- Addressing of conflict resolution
- Status of a non-profit organisation

For the eligible organisations, additional criteria for selection then included issues relating to

- Profile (accounting and administrative procedures in place, managerial and technical capacity, past experience in conflict management, appropriate race and gender profile)
- Relevance of intervention (activities clearly and concisely spelt out, links between needs and interventions, emphasis on capacity building, integration of existing projects and structures)
- Innovative and realistic approach
- Realistic sustainability prospects (strategies for sustainability, fund-raising and cost recovery in place)
- Monitoring and evaluation
- Soundness of budget (counterpart contribution, co-funding, feasibility, recoverable unit costs)

Based on this assessment, a short list of organisations was then submitted to a sub-committee of IMSSA's Board for final approval

In terms of the assessment process, relative weighting was given to the profile of the organisation and the relevance of the intervention, reflecting the PMU's concern not only with programmatic coherence, but also with sufficient organisational capacity being in place to manage the grant. This is very important and reflects an appropriate understanding on the part of the

PMU of the need for organisational capacity and good financial controls to be in place in the sub-grantees

It should be noted that while the process was adhered to, the recognition of potential in some sub-grantees may have resulted in inclusion in the programme where certain systems were not initially in place. For example, KBT did not have dedicated project personnel, its own office and facilities and experience in managing substantial donor funding prior to the receipt of the sub-grant. However, its willingness to put such mechanisms and capacity in place, in addition to its respected standing in the targeted community and excellent proposal were factors that mitigated in its favour in the assessment process.

The selection process was therefore not applied rigidly in all cases, but in a manner in which recognised potential for success. This does, however, place a responsibility on the PMU to ensure that capacity building requirements of such organisations are met.

The standard of proposals received, both with regards to eligible and non-eligible, reflected a need to develop capacity in this area

The proposals received in the first round of RFAs generally reflected commitment stated objectives on the behalf of organisations, but a lack of detailed thought about the implementation process of their programmes and the related costing. The identification of this need resulted in the PMU conducting the first implementation planning workshop.

The value of the process of engaging with the RFA and preparing a project proposal in line with the required format, subsequent to the workshop, is reflected in the changes made to resubmitted proposals. For example, CDRT resubmitted its proposal in the second round of RFAs and the difference in two proposals is significant. The first proposal reflects a lack of detailed planning in terms of the objectives and related activities of the project and consequently an unrealistic budget. The revised proposal is clearly thought through, especially with regards to the proposed interventions. The budget is directly linked to activities and is half the original amount requested.

KBT, having also participated in the workshop, submitted its first proposal in the second round of RFAs. The proposal is extremely well thought through and appropriately costed, reflecting already a development of capacity within the organisation.

The PMU acknowledges that the implementation planning workshop would only explain in part the improvement in proposals. The organisations referred to also clearly engaged in a detailed reflection and planning process of their

own accord. This is confirmed by KBT, where the project manager at the time of the evaluation reflected the length of time and extent of effort spent on developing the proposal.

The implementation planning workshops, and subsequent development of monitoring plans, proved to be of great value to the sub-grantees and reflect the PMU and CAII's commitment to capacity-building

The successful organisations were assessed (using an institutional capacity tool developed by CAII and PMU¹⁰), and invited to a second implementation workshop where an implementation plan was developed. Related monitoring and evaluation plans were then developed in conjunction with CAII. Further negotiations around interventions and budgets were undertaken, before the agreement finally was signed.

The approach of going through an implementation plan process with each sub-grantee is a unique model, one that has been pioneered by IMSSA with minimal involvement of USAID. In fact, this was not part of the original steps outlined in the PMU workplan, but was found to be necessary if the sub-grantees were to work towards a common strategic objective and if the PMU was to be expected to report on behalf of all sub-grantees.

This process facilitated engagements between the PMU/CAII staff members and the sub-grantees that resulted in the forging of closer relationships and allowed the umbrella organisation to gain an intimate understanding of the status of each sub-grantee and the nature of their particular needs. In a similar vein, the sub-grantees appreciated obtaining a detailed understanding of the requirements of the grant and the expectations of the PMU. This attention to detail and dealing individually with all sub-grantees is what makes this umbrella approach so valuable and empowering. The fact is that the umbrella concept is a fully workable one and it has already shown its potential in terms of a more hands-on approach.

3.1 1 4 Technical Assistance and Training

TA and training is a critical component of the umbrella grant and is one of its key motivating factors. Technical assistance includes the provision of face-to-face support involving the setting up of systems and procedures to facilitate the effective management of the sub-grant. Training involves the provision of generic courses in basic skills to all sub-grantees, as well as specialised or individually focused courses to specific sub-grantees.

¹⁰ see section for detailed analysis of the institutional assessment tool

TA and training have been strongly prioritised in the workplan of the PMU and in the manner in which the programme is being implemented

As far as the PMU is concerned an identification of individual needs was undertaken during the composition of the PMU work plan and is discussed further in Section 3.2

With regards to the sub-grantees, an initial TA and training plan was developed on the basis of the screening of the submitted proposals, institutional capacity assessment tool and interviews

Out of these steps a detailed list of needs in terms of TA and Training was drawn up, which were prioritised. Individual training needs were identified jointly by the PMU Technical Support Advisor and the person concerned at the sub-grantee level

In terms of TA, sub-grantees are supported through direct contact with both the PMU Technical Support Advisor and the PMU Accountant who will provide advice and assistance to organisations upon request, in their particular areas of expertise. CAI provides TA with regards to monitoring and evaluation. The M&E Specialist, and the Project Monitor (when appointed) provide this assistance.

With regards to training, relevant courses and training institutions have been identified.

Three types of training are being organised:

(i) project management related

- monitoring and evaluation
- report writing
- financial management
- participatory facilitation course

(ii) organizational capacity building

- proposal writing and fund raising
- organisational development and change management
- sustainability
- strategic planning
- proposal writing
- fundraising

(iii) individual needs

- computer skills
- conflict management
- bookkeeping
- assertive leadership

Appropriate trainers or training institutions are identified through a process of selection undertaken by the PMU Technical Support Adviser. He identifies a range of individuals or organisations who have been recommended and analyses the course outlines and related materials. He also attends a range of training programmes, in order to experience them first hand. The trainer is then selected and the course aligned to meet the needs of the sub-grantees.

In some instances, sub-grantees have approached other sub-grantees to assist with capacity-building (for example, the Centre for Conflict Resolution (CCR) has provided training to both the King's Basket Trust (KBT) and the North-West Paralegal Movement)¹¹

With regards to the manner in which implementation is taking place, a number of points need to be noted

The PMU has provided excellent technical assistance to the majority of sub-grantees

Assistance with regards to financial systems and procedures has been highlighted by most sub-grantees as having proved invaluable to them. The improvement of organisational systems and procedures, with selected sub-grantees, has also proved to be well received. The PMU is generally seen as being responsive, accessible and willing to provide support.

Preliminary assessment of the training programme reflects that it strongly assist in building capacity within organisations, but that some areas of skills development have not been captured in the needs assessment process undertaken and that the timing of some courses should be re-visited

The training programme has only just begun to take off, with very few courses at this stage having taken place. Some general comments can be made.

Firstly, the manner in which training needs have been identified needs to be carefully considered. In light of the issues raised around the institutional

¹¹ This assistance was provided in its capacity as a leading organisation within the sector, and not as a sub-grantee of the programme.

assessment tool (see section 3.2.2.1) and the difficulties being experienced by sub-grantees in the implementation of their programmes reflects that potentially some needs have been overlooked and that an additional assessment process should be undertaken to ensure that gaps do not exist.

Secondly, the timing of some of the courses should be reconsidered as they may be happening too far into the process to make a significant impact on the management of the sub-grant itself (although they will build capacity within the organisations as a whole). Examples in this regard are the financial management training (scheduled for 18-21 May) and the follow-up monitoring and evaluation workshop (scheduled for August). These are both core sets of skills required by the programme and should have been conducted earlier in the process.

Thirdly, in some organisations, a high staff turnover has resulted in a negative impact as those people who were empowered and trained have left the organisation (in particular with CDRT). This, however, is an issue that individual sub-grantees need to deal with.

Fourthly, in relation to the training that has already been undertaken, generally good feedback is being received by the PMU, although no formal processes for following-up on training received appear to be in place. Sub-grantees have responded very positively to the report-writing workshop. With regards to the monitoring and evaluation workshop, mixed responses have been received, and are discussed in greater detail in the related section below.

With regards to both TA and Training the following points should be noted:

As the contract progresses, particular issues suggesting additional assistance can be identified, for example assistance with developing quality assurance mechanisms for training processes. However, financially, the situation is such that a substantial amount of the TA budget has been spent or has been allocated so that additional needs identified will have to be funded through other budget lines if possible.

The decision to target organisations that need further capacity in the execution of their functions is a responsibility that was deliberately assumed by the PMU, one that has to be taken to its conclusion. Understandably, limits need to be defined in terms of the parameters of the responsibility attached to the concepts of TA and training.

The evidence suggests that sub-grantees would require further support either in terms of institutional capacity (management, structure, systems, etc) or in terms of capacity to deliver their programmes (technical skills).

Recommendation

It is recommended that, in line with activities identified in the workplans and the stated objectives of the sub-grantee workplans, the PMU should conduct a review process to assess whether or not key capacity-building issues of sub-grantees are being addressed. In addition, the timing of courses currently included in the training plan should be reconsidered.

3 1 1 5 Financial monitoring

Appropriate and efficient financial monitoring mechanisms have been put in place by the PMU, in line with USAID requirements, to manage both their own grant and the nine sub-grants

In the initial phase of the contract, different forms were developed with the assistance of USAID to facilitate financial reporting and monitoring. These forms provide an accurate reflection of the monthly requests for funds (to a special dedicated banking account) but also outline the expenses (current, accumulative and prior) in terms of the different budget line items as far as objectives, activities and sub activities are concerned.

Financial reports are looked at together with the narrative and monitoring and evaluation reports (as stated by PMU). This allows the PMU to pick issues that need clarification. So far things have been going well financially in relation to the sub-grantees. Where issues of concern have been noted they have been dealt with by the PMU and the individual sub-grantee. There is some concern that disbursements mainly happen on the basis of financial reports. Narrative reports and monitoring and evaluation reports have been less forthcoming, although this issue is in the process of being addressed. One of the forms developed does however allow the PMU to check how expenses relate to the agreed implementation plan on a quarterly basis.

In terms of timing, reports from sub-grantees are due on the fifth of each month. The PMU Accountant will recommend payment of disbursements but none will be effected unless the Head of the PMU Unit has signed the disbursement proposal. In one case, lack of communication has led once to misunderstanding and delays in payment (UMAC). The PMU has intervened in this regard by requesting that both the Project Manager and Accountant jointly sign for disbursement requests.

The issue of the 25% contribution gets reflected in the quarterly reports. Twenty-five percent can come from other funds or from contributions in kind, contribution that will be verified during the audit of the sub-grantee.

Some delays in disbursements to sub-grantees were related to misunderstandings or lack of communication within the sub-grantees and thus far all delays have been sorted out. In one case payment to a sub-grantee was suspended, not for financial reasons but for programmatic reasons (lack of systems in place - KBT). This has led to a situation where financial reporting is done on each activity, allowing for very tight and strict control.

Sub-grantees have required substantial capacity-building and support with regards to financial management

Generally, most sub-grantees did not have appropriate financial management systems in place and have requested a great deal of TA in this regard.

It appears that the weaker organisations have not fully understood the system. An example of this is where organisations are unclear as to what happens to surplus funds. For example, if they have budgeted R10,000 for a workshop but only spend R5,000. There appears to be a lack of understanding of how money may be re-allocated within a line item. This in turn has led to perceptions of the system being rigid.

In order to support sub-grantees in the process of financial monitoring, the financial management course for project managers is being held in May (see section 3.1.1.4) and the possibility is being explored of contracting individuals possibly based in Cape Town and Gauteng to assist with further with the financial mentoring and reporting.

Sub-grantees are clearly in the initial phases of implementation and expenditure generally reflects this trend

Analysis of disbursements made against funds committed with regards to the sub-grantees reflects that most organisations have spent money on initial activities relating to developing institutional capacity and appropriate resourcing of organisations. Relatively little has been spent on programmatic activities, except with regards to initial consultations. This is of particular interest in the cases of NWPLM and CDRT, organisations that have been sub-grantees for a longer period. Their spending does not necessarily reflect the length of time of their engagement, as KLTC and CCR have spent similar percentages of funds committed, while being engaged for substantially shorter periods of time.

Recommendation

When implementation plans of sub-grantees are reviewed, careful attention should be placed on ensuring that budgetary line items reflecting activities

outlined in the plans. Specific attention should be placed on the travel line item and any additional items that would support programmatic impact

Payments to the sub-contractor CAI are being made in accordance with achievement of deliverables and any delays experienced have been dealt with

Two payments have been made in the fixed price contract. The first payment was received on time and the second was delayed due to two factors. Firstly, because the first two sub-grantees were contracted in July 1997, CAI was unable to meet the August 1 completion date for the M&E plan and tools being put in place and sub-grantees trained. A request for payment was only submitted in September 1997, after the activities in relation to the initial two sub-grantees were undertaken. Payment from IMSSA was then delayed due to a delay on the part of USAID, but this was subsequently sorted out by CAI agreeing to notify the PMU in advance when a payment claim is going to be made.

Analysis of the financial statements of the PMU reflects that expenditure is largely on track, but attention should be paid to specific line items

A number of comments can be made with regards to expenditure.

Firstly, only 29% of the allocation made for travel remains in the allocated amount. This reflects two realities of the PMU's process. The initial process of consultation to select the priority areas and ensure that the sub-grantees could get basic systems established has resulted in the PMU having to travel more than was initially thought necessary. A reasonable assumption is that travel requirements will be reduced in the coming months¹², as the sub-grantees become less dependent on support. However, some additional allocation to the travel line item will have to be made.

Secondly, the allocation made to consultants is small and while only 21% of the amount budgeted has in fact been utilised, the allocation remains insufficient for the purposes of the PMU.

The above comments about the short-comings in the budget are confirmed by the Head of the PMU, who feels that in other areas the budget is adequate.

The fourth additional point which is of importance reflects the discussion already outlined in section 3.1.1.4. The allocation for training and technical assistance may prove to be too small, based on the needs of the sub-grantees.

¹² The Head of the PMU notes that they expect a decrease in time spent on the ground by September 1998.

and in line with the commitment made by the PMU to build their capacity. Only 36% of the allocation remains, yet in terms of the formal training plan, a number of courses are still outstanding.

Recommendation

It is therefore recommended that an assessment of possible additional areas of need in terms of budgetary allocation should be undertaken. Particular attention should be paid to training and technical assistance, in line with the assessment undertaken in terms of the related recommendation above.

3 1 1 6 Monitoring and Evaluation

Monitoring and Evaluation

The role of monitoring and evaluation in the current project has to be seen against the following backdrop:

- The current project is a pilot process and hence the documentation of its strengths and weaknesses are crucial.
- The need for ensuring that the process was on track and building accountability between the sub-grantees and IMSSA/PMU.
- The need to measure impact at the conclusion of the process.

The current evaluation is based on the key activity outlined in section 1.3 of the report, which have been used as the basis for assessing the extent to which CAII has been meeting its objectives with regards to the M&E component of the current project.

CAII has developed monitoring plans, including a narrative framework to capture qualitative data, for all sub-grantees.

CAII, in conjunction with sub-grantees, have developed the M&E plans for each sub-grantee based on their specific implementation plans.

The M&E plan covers broad objectives, the activities planned to achieve them, their time frame and their indicators. In addition, the plan includes a narrative section to facilitate the capturing of qualitative data. This format was agreed to by IMSSA and also represents the current reporting format (including amendments to the initial format).

At the time of the midterm evaluation, all sub-grantees had submitted M&E reports. However, a number of problems were identified in relation to the issue of M&E reports.

According to CAII, the quality of the initial reports suggested that further support and training would be needed to optimize the usefulness of the M&E plans. An M&E training workshop was held for sub-grantees in the area of M&E and according to CAII the quality of the reports have now improved.

There has also been an issue of untimely and inconsistent submission of reports from sub-grantees. However, this has to be understood against the backdrop that most sub-grantees signed their grant in November 1997 and reporting was delayed due to closure of these institutions during December 1997. The current situation is such that, as at February 1998, most sub-grantees have submitted reports. However, this improvement does not detract from the issue that further training and support will enable sub-grantees to generate better M&E reports.

With regards to the reporting format, certain revision has taken place to improve the quality and depth of reporting from sub-grantees. CAII have identified the need to record important information relating to workshops done or consultations held.

In particular, CAII have identified the need to capture performance-related information that results in higher level impact. In this regard, the current evaluation has revealed a lack of proper tools/mechanisms to assess the quality of materials developed as well as the quality and impact of training (e.g. do participants feel competent to use conflict resolution skills?).

Recommendation

CAII should ensure that the additional tools required, (e.g. for facilitators/fieldworkers) to capture performance related information and to record important data on things such as workshops, are in place. In this regard, CAII should examine the tools/mechanisms that sub-grantees are using to assess the quality of their training materials, the effectiveness of the train-the-trainer process and the effectiveness of the training of beneficiaries.

These tools could include things such as

- *pre and post workshop questionnaires to test the relevance and appropriateness of workshop material and content*
- *Evaluation schedules to rate trainer/facilitator effectiveness*
- *Post workshop surveys to assess whether beneficiaries are applying learnt skills or whether beneficiaries understand and accept their particular role in the local government process*

Where necessary, CAII should assist sub-grantees to develop these tools

CAII conducted a training workshop on M&E for all sub-grantees and the PMU

An M&E workshop for sub-grantees was held in February 1998. Feedback from most sub-grantees suggests that the workshop did not meet their expectations. CAII in conducting the workshop focused on the organisational and theoretical elements of performance M&E in the context of a USAID funded programme. The workshop also focused on the practicalities of doing monitoring reports and the upcoming midterm evaluation.

However, sub-grantees appeared to be anticipating an input on the broader theoretical framework of M&E and many of those interviewed felt that the workshop focus was too specific. Most of the sub-grantees felt that there was a need for further capacity building regarding M&E. CAII has acknowledged the fact that there were differing expectations regarding the workshop and that further training would be necessary. It is important that the nature and content of this training is agreed up-front in order to avoid a similar misunderstanding.

CAII have identified a particular need for facilitators, who have direct contact with the beneficiaries through training and consultation, to undergo M&E training in order to be able capture relevant information.

Recommendation

CAII should undertake further training and capacity building initiatives with sub-grantees (including facilitators who work directly with beneficiaries) to deal with the following

- *Improving the quality of the M&E reports/optimizing the use of M&E tools. In particular the capturing of qualitative information through the narrative framework and the capturing of information from workshops and consultative sessions*
- *Ensuring that sub-grantees fully understand the database and what data they are expected to capture*

A database has been designed and will be housed at CAII offices in Pretoria. The database will be fully operational and accessible by May 1998.

There was an initial delay in the setting up of the database linked to the fact that only two grantees were included in the first round of RFA's. CAII felt that the database would be informed by the nature of sub-grantee programmes and hence the decision to wait until all sub-grantees were on board. CAII are subsequently involved in setting up the database. In terms of access, it is

envisaged that the PMU will have access to the database via the network that CAII is setting up

It appears that the data frames (to be included in the database) still require some input and refining. Since a key objective of the current project is institution/capacity building, it is important that the data frames focus on issues such as systems, processes, structure, staffing levels, and skill/capacity. In particular, the issue of how to include qualitative data needs to be explored.

It is also crucial that the database become fully operational as a matter of urgency, since the database would capture baseline information against which project impact will be managed/measured. This is exacerbated by the fact that, most sub-grantees are at the point where they will be implementing their training programmes. Furthermore, CAII's critique (quality and extent) of the institutional assessments during the second round of awards makes it imperative that the database be used to establish proper baseline information regarding institutional capacity¹³.

Recommendation

CAII should operationalise the database in order to ensure the following

- *Easy and direct access to database*
- *Sub-grantees fully understand the database (data frames) and what data they are expected to capture*
- *Assessment of the current database and whether it meets the requirements of baseline data. If not, CAII needs to generate mechanisms to capture the necessary baseline data as this will be crucial to the final evaluation. In this regard, the need to capture data regarding institutional capacity (structure, management systems/processes, staffing levels, existing projects, skills/competencies and products) prior to awarding of the grant to sub-grantees is crucial.*
- *Capturing of information regarding technical assistance provided to sub-grantees and how this has contributed to institutional building*
- *Capturing of information on training provided to sub-grantees and how this has contributed to institution building*
- *Capturing of the range/types of materials developed*
- *Capturing of the numbers of beneficiaries trained, broken down by stakeholder grouping (e.g. councilor, youth leader etc)*
- *Capturing of qualitative data. In this regard, it is recommended that CAII get assistance from experts in the field who have created data frames using qualitative data.*

¹³ CAII Quarterly Report – October-December 1998

Quarterly reports are submitted by CAII to IMSSA/PMU

Currently, quarterly reports are submitted by CAII to PMU. The purpose of these reports is to track and document progress regarding planned activity within the quarter. The reports also include issues relating CAII being able to carry out its agreed mandate, as the M&E sub-contractor.

Perusal of the quarterly reports indicates that the PMU has been effective in undertaking the activities outlined in their workplan (see section on PMU achievement against workplan).

The reports highlight useful information regarding the implementation of the process, particularly highlighting areas of weakness which require attention or improvement, for example, a critique of the quality of sub-grantee M&E reports or the institutional assessments in the second round of awards.

The M&E function is not fully integrated into the project management process

Based on interviews with both the PMU and CAII, there is agreement that M&E is currently not as integrated into the overall project management process as it should be.

This is not to argue that there has not been any integration. For instance, CAII were involved in the first round of RFA's. In the second round of RFA's, CAII was even more involved in the process of assessing and selecting institutions. It should also be emphasised that the contract between the two parties states that CAII has to be involved in meetings and workshops directly related to their work to facilitate this integration.

From the perspective of CAII, the major difficulty regarding an integrated approach has been that CAII does not have anybody based at IMSSA as a resident team member. This is largely due to problems experienced right at the outset of the project.

This has made it difficult to deal with issues as they arise. A case in point would be the institutional assessment tool or the assessment process in the second round of RFA's. Both CAII and the PMU agree that the tool has certain limitations. If a CAII person was part of the core team, this issue could have been addressed effectively because there is first hand information (and experience) regarding the limitations of the tool. Likewise, if CAII had seen certain problems with the quality and extent of institutional assessments in the second round of RFA's, this could have been addressed (see discussion on institutional building).

The perspective of IMSSA/PMU is that CAII's location in Pretoria has hampered the level of communication and interaction. The PMU has also voiced concern that sub-grantees have not interacted/communicated with CAII as much as they should have.

However, the essence is that both parties agree that there is a need for increased (functional) interaction/communication between CAII and PMU. Currently, there is a process to appoint a project monitor, and depending on the role of this person is defined, this may help to improve the level of interaction.

Recommendation

The project monitor should be appointed as a matter of urgency so as to address the current gaps which exist in terms of M&E being centrally incorporated into project management process. CAII need to identify a specific timeframe in terms of when this will be done.

The development of the integrated dispute resolution system (IDRS) has not adequately involved the M&E component

Currently the IDRS process is in its research phase. The output of this phase will be a research report that will inform the design phase. While it is perhaps the nature of the first phase of work, it appears that the consultants have worked fairly independently of the sub-grantees, the PMU and CAII. While CAII reports on the involvement of participating sub-grantees¹⁴, most sub-grantees appear to be ill-informed as to what is happening. There appears to be a lack of communication between the consultants and sub-grantees. The fact that the last workshop set up did not materialise, sub-grantees are in a state of limbo not knowing what information they need to capture or how to give input to the advisory committee or appointed consultants. The PMU feels that adequate communication around the IDRS has taken place.

Recommendation

Proper mechanisms for CAII to actively monitor the IDRS process should be defined.

¹⁴ Quarterly Report – October-December 1997

CAII has developed a scope of work and sub-contracted the mid-term evaluation team

The current mid-term evaluation has been commissioned by CAII as part of its M&E mandate. The sub-contracting of the evaluation has created the opportunity for CAII to evaluate its own role in the process of providing M&E services to the project.

The following recommendations are made in relation to the findings and analysis discussed above.

3.1.1.7 PMU Management

The structure of the PMU is discussed in section 1.2.

Clear management functions are undertaken by the Head of the PMU, the Accountant and the Technical Support Adviser. The Head of the PMU provides the common link that ties together all the different functions. While the unit members fulfil their particular responsibilities, the Head of the unit sees to quality control and assumes final responsibility and accountability.

The rigor associated with planning and the formulation of detailed implementation plans using what seems to be the logical framework, has significantly impacted on the manner in which the PMU undertakes its work. In addition, the PMU presents itself as an outcomes oriented team that, while expecting each member to be self-managing, also provides mutual support and assistance.

3.1.2 PMU's achievement against work plan objectives

In the following section, the PMU workplan is assessed to determine what has been achieved and what is still outstanding. The latest version of the workplan, interviews with the PMU team and all quarterly reports to date have been used in the assessment.

The current workplan is derived from the detail of the contract between USAID and IPMU. It should be noted that two elements, the development of implementation plans for sub-grantees and the provision of TA and training to sub-grantees, while not specifically mentioned in the contract are key aspects of how IMSSA has taken the initiative to shape the umbrella grant process.

The initial work plan for the PMU ran from November 1996 to December 1998. This time frame has been extended to June 1999 and the workplan revised accordingly.

One of the main motivations for the extension of the timeframe was the tremendous amount of time spent in 1997 on developing tools and procedures regarding grant management. While the timeframe has been extended by six months, the overall budget for the process remains the same.

The workplan identifies the following major activities to be achieved by the PMU:

- Strengthening of IMSSA/PMU team
- Determination of the priority sector
- Grant making and management steps
- Monitoring and evaluation framework
- Technical support (including training and development)
- The final activity which is not included in the current workplan is the development of an integrated dispute resolutions system (IDRS)

➤ **Strengthening of IMSSA/PMU team**

This activity included among other things, the establishment (recruitment) as well as the capacity building of staff, the setting up of administrative framework and infrastructure, the appointment of M&E specialist subcontractors and setting up of a board of trustees and internal selection committee.

All of these sub-activities have been achieved. However, the capacity building of the PMU is an ongoing process informed by particular needs arising out of the project process. In particular, the need for financial management training for certain staff members has been identified.

➤ **Determination of the priority sector**

The identification of the priority sector is described in detail above. Activities have been completed, in accordance with the workplan.

➤ **Grant making and management steps**

The grant-making process is discussed in detail above. It has been completed according to the workplan, but with some refinements being made.

The process took much longer than expected. This was due to the fact that the grant making and monitoring system had to be developed and consolidated. Furthermore, the stringent requirements in terms of proposals meant that sub-grantees went through a process of submitting and re-submitting proposals. The assessment of institutions as well as the decision to conduct implementation planning workshops meant the overall process was delayed.

by six months. As a result of this the process has now been extended by six months.

➤ **Monitoring and evaluation framework**

Most sub-activities in terms of the M&E component have been completed. However, certain areas such as training of sub-grantees and the further development and refinement of M&E tools have been identified as requiring further attention. The need to develop appropriate baseline data regarding institutional capacity has also been identified.

The detailed refinement and the operationalisation of the database still needs to be finalised.

➤ **Technical support (including training and development)**

To date a range of technical assistance and training has been given to sub-grantees. This includes activities such as the development of implementation plans, development of operational policies and procedure and on the job training in financial management systems.

A training needs analysis has been completed as well as specific training programmes.

However, in terms of the prioritised training needs, a number of training programmes still have to be completed. These include among others, programmes on project management, strategic planning and Organisational Development and Change Management.

It must be noted that need for follow up institutional assessment has been identified and that this may have implications in terms further technical assistance and training. The issue of building sustainability will be linked to this process of further assessment.

➤ **Integrated Dispute Resolution System (IDRS)**

The decision to develop an IDRS was taken at the first implementation planning workshop attended by NWPLM, CDRT, CPF, ACCORD and KBT. The sub-grantees recognised that dispute resolution systems are being developed in all communities involved in the project and that there would be value in ensuring coordination around the development of a common framework for dispute resolution.

It was recommended that IMSSA/PMU take responsibility for coordinating the research and design of such a system.

Failing a call for an expression of interest from known 'non-profit research organisations (CBDP, PLANACT, WFC, CCR, CPF, CASE, RDC and CDRA) a decision was taken to employ the Centre for Conflict Resolution (CCR) and Daniel Nino

The following broad phases have been defined

- the research phase (completed)
- the design of a preliminary model and the development of training materials
- piloting and training of trainers
- implementation of the system and evaluation of the system

The research phase has just been completed and the following sub-grantees were supposed to have played a role in the data collection phase (CDRT, NWPLM, KBT and CCR. However, it must be stated that both CDRT and NWPLM when interviewed could not say much regarding the IDRS and both appeared uninformed

Nevertheless, the research has been completed and a preliminary model will be presented on the 29 April 1998

As can be seen from the above, the PMU have achieved many of the activities in its workplan. However, the reality is that there is less than a year remains for sub-grantees to implement their programmes. Many of the sub-grantees who have started in this year will have to push hard to attain the impacts they have planned for. Thus, it is imperative that the IMSSA/PMU together with CAII do what they can to provide further institutional support and capacity building

3 1 3 Compliance with USAID's standards of programmatic and financial accountability

3 1 3 1 Programmatic

In line with the results framework presented in Section One, the PMU has put in place systems and processes to ensure that the programmatic requirements of USAID are adhered to

Specifications outlined in the contract have been captured in the workplan and, as reflected in section 3 1 2, activities outlined in the workplan have largely been undertaken

Reporting mechanisms are in place, through the involvement of CAII, to ensure that USAID receives information in line with the results framework negotiated with IMSSA

An amenable working relationship has developed between the parties, so that issues of concern can be dealt with a co-operative and professional manner

While the umbrella grant is the first of its kind to be implemented in South Africa, it appears to be functioning more in line with a contract rather than a co-operative agreement, which by definition involves a greater deal of involvement on the part of the donor agency in programme design and implementation¹⁵ This is not necessarily an issue of concern, considering the fact that the purpose of the pilot is to identify a workable model for the umbrella grant and indications are such that the PMU is achieving its objectives in this regard This will be an important issue to highlight in the final evaluation process

3 1 3 2 Financial standards

The PMU has put in place financial management systems to enable it to produce financial reports in line with requirements of USAID The umbrella grant follows the normal USAID procedures where requests are submitted monthly As noted above, small delays have been experienced in receiving disbursements from USAID, but these have been dealt with through an arrangement between the two parties

An internal arrangement agreed to between USAID and PMU, allows the PMU to request two month advances and to account for previous expenses in month three This arrangement has not been communicated timeously to all the concerned staff members of USAID As a solution, the SO1 Programme Manager has been proactive in ensuring that all the requests are received and attended to Insignificant delays in disbursements have been experienced due to the long processing time The fact that USAID in 1996 switched from a three monthly to a monthly disbursement rate has not improved the process of prompt disbursement pay-outs

In general, USAID is satisfied that financial standards are being adhered to, but will take into account suggestions arising from the audit being conducted on the PMU

¹⁵ This issue was not discussed in detail with USAID and therefore the Agencies comments in this regard would be useful

3 1 4 Assessment of sub-grantee programme management

Assessing sub-grantee programme management is a difficult task at this point in time. The majority of sub-grantees only started their programmes in the period of December 1997 to January 1998. Only two started last year in June /July.

Overall, the response of the majority of the sub-grantees towards the umbrella grant principle with all its procedures and systems has been positive.

A number of the issues highlighted here are raised in the section on institution building. Nevertheless, a few comments need to be noted.

Firstly, there appears to be differing responses from organisations who came into the process 'institutionally strong' and those who were 'institutionally weak'.

While all organisations benefited from the rigorous process of developing implementation plans, it is clear that these plans may require some review given the realities organisations are experiencing regarding implementation.

This review process will require certain re-negotiation and this is where the stronger organisations will be better placed to assert their new requests. However, some of the organisations who are weaker appear to think that their implementation plan is totally non-negotiable even though they may be encountering issues for which they had not planned.

Thus it is important for the PMU to assist these organisations to revisit their plans to ensure that organisations make the necessary changes where these are justified (see sub-grantee reports for specific examples).

The issue of communication may also have an impact on programme management. This is particularly true where there is a geographical separation between head office and regional offices.

Interviews with regional offices have demonstrated how this geographical separation leads to administrative delays (disbursement of funds to regional offices) because the accountant or director at head office is not available.

Therefore it is important for the PMU to examine specifically how geographical separation is impacting on programme management. This could be done as part of the process of institutional reassessment as has been recommended.

Finally, it is of concern that most sub-grantees (as indicated in their implementation plan) do not have detailed action steps on how to get from noting that train the trainer workshops will be conducted to actually implementing the process, for example, developing criteria to select trainers, screening and selecting trainers, developing material both on dispute resolution and effective training techniques, getting selected trainers committed to attend the training process, developing evaluation schedules to assess competence of trainers and setting up pilot sessions where these assessments can take place

It is a concern that such processes are being underestimated and that the PMU has to assess whether sub-grantees have thought through this detail

Recommendation

Sub-grantee plans need to be reviewed now that there is a greater appreciation of the reality of the local government sector. This needs to be done in conjunction with the application for further funding not just on the basis of responding to an unplanned for need, but must be pre-emptive for the duration of the grant. This includes responding to the plethora of needs expressed by communities, which often do not fall within the scope of the IMSSA brief. Strategy need to be determined as to how the extraneous issues need to be dealt with

3 2 Institution Building

In the following section, common or cross cutting issues relating to institution building are raised. Institution building is broadly defined as including elements such as programme design, structure, systems, process, procedures, functions and resources (human/physical/technological/financial). The issues raised in this section are intended to assist in the process of increasing the efficiency and effectiveness of the organisations with regard to workplan goals.

The discussion will focus firstly on the **PMU/IMSSA (including CAII)** and secondly on the **sub-grantees** in general.

3 2 1 PMU/IMSSA (including CAII)

In this section, institutional building issues in relation to the PMU, and CAII as its sub-contractor, are discussed. The link between the PMU and IMSSA is discussed to assess the extent to which IMSSA has benefited from the grant. The conceptual framework outlined in the section focusing on methodology has been utilised to order discussion in this section.

3 2 1 1 Human Resources

The PMU is appropriately conceptualised and staffed for the scope of work attributed to it

With regard to skills and capacity, interviews with the PMU staff in relation to the workplan objectives revealed that PMU staff feel that their current skill and capacity is adequate to meet the set objectives. Certain areas for staff development have been identified and are in the process of being addressed

- Conflict resolution skills
- Financial management
- Report writing
- Computer skills
- Monitoring and Evaluation

The specific gap identified in the PMU relates to monitoring and evaluation, with the view being expressed that an additional core team member, tasked with M&E would have completed the team profile. The appointment of the Project Monitor will address the gaps identified in terms of M&E

3 2 1 2 Structure, Systems and Processes of the PMU

The management structure of the PMU is clearly defined with each member having clear areas of responsibility

The relationship between IMSSA and the PMU is clearly defined, with no significant examples of lack of clarity about role or function being cited

Financial and administrative systems are efficient and enable the PMU to work effectively

Most grantees reported a high level of administrative competence from the PMU team. In addition, the PMU team is generally described as accessible and willing to assist. The tools, systems, instruments, processes and framework put in place by the PMU would ensure that, with additional staff, it could effectively handle an increased number of sub-grantees

The role of the PMU in capturing and synthesising new knowledge and facilitating collaborative relationships is not clearly reflected in the processes currently in place

All sub-grantees should avoid becoming islands in the sector, relying solely on their own resources and processes. There needs to be greater co-operation and synergy in terms of delivery, in the sharing of experiences and insights

and in the development of material products IMSSA / PMU needs to be proactive in this regard as it will help in consolidating the resources and energy within the sector

The PMU can play an invaluable role in capturing new learnings that are being generated out in the field. At present, Project Manager meetings provide a forum within which the sharing of ideas can take place, but sub-grantees generally feel that this is too limited and does not provide strong enough mechanisms to share information on an ongoing basis. This could be taken to the extent of sub-grantees working in the same province producing one composite set of materials and training courses. The issue of coordination and pooling of knowledge is however, complicated by the fact that sub-grantees are also protective over the work that they have produced and because they now operate in a competitive environment, are not always willing to share the innovative work that they have generated. Linked to this is the issue of what mechanisms need to be used to ensure that sub-grantees benefit from knowledge that is being created or in the instance of sub-grantees working in the same province, should training and material be consistent. For example, UMAC has developed a document on the role of traditional leaders and this should be brought into the broader process?

Recommendation

The PMU, in discussion with sub-grantees should define a clearer process for integrating new learning and capturing it in a form that will make it accessible to sub-grantees and the broader community. On their part, sub-grantees need to indicate level of willingness to share information and work in a co-operative manner

3 2 1 3 Institutional Development / Benefit To IMSSA

One of the aims of the umbrella grant making process is to contribute to the development of the institution hosting the umbrella grant. Interviews with the National Director of IMSSA and members of the PMU team have revealed the following benefits

- At a **strategic level**, IMSSA's association with PMU has allowed IMSSA to open doors to new areas. An example of this is Mpumalanga where IMSSA is being engaged by the Premier to unpack and develop areas such as cooperative governance and managing inter-party tension
- The umbrella grant process has allowed IMSSA to develop **project management experience and capacity** which creates options for the future. An example of this would be the possibility of IMSSA acting as an agency for NOVEB due to its experience in grant management processes

- In terms of **management processes**, IMSSA has taken on board the framework PMU uses to develop workplans. In addition, the financial management capacity of PMU is being used to refine IMSSA's internal financial management system.
- The **skill and expertise of PMU staff is directly adding value to IMSSA processes**. An example of this was the value added by the Head of PMU in planning the IMSSA conference on Mediation in Africa to be hosted in August 1998. An additional example is the assistance provided by the PMU Accountant to IMSSA personnel on the costing of branches and the provision of emergency assistance, when required.

The amount charged by IMSSA for administrative support is very modest, and was charged at a low rate because IMSSA had not previously administered a programme of this type. Based on the experience obtained, IMSSA will be able to charge a higher fee for administrative support in the future.

3.2.2 Sub-Grantees

3.2.2.1 General Issues

With regard to institution building of sub-grantees, it is important to note that there was right from the outset, varying degrees of capacity among the sub-grantees. If a comparison is made between CCR and KBT, for example, it is clear that they have entered the process at very different points (see individual sub-grantee reports below). This distinction is important since the value added to institutions through the grant-making process (including training and technical assistance) will be relative. Given this, the findings discussed in this section may not apply uniformly to all the sub-grantees.

The process of institutional assessment yielded important information regarding institutional capacity building

The process of building institutional capacity started with PMU/IMSSA and CAII staff doing institutional assessments of potential grantees using a tool developed by CAII. The tool was designed to assess organisations' potential capacity to meet USAID's accountability requirements, establish an organisational capacity baseline, identify further training and TA needs and provide a basis for developing M&E plans and tools.

The initial institutional assessments (first round of RFA's) conducted revealed a number of areas where sub-grantees felt particularly weak¹⁶. The

¹⁶ Quarterly Report - July-September 1997

organisations assessed included ACCORD, CDRT, CPF and NWPLM. These identified areas of weakness included

- Monitoring and evaluation
- Programme implementation planning and development
- Proposal writing (and other areas related to developing organisational sustainability)
- Strategic planning
- Financial accounting and management (systems and capacity)

These findings formed the basis for the planned technical assistance and training to be done with the sub-grantees (see section on IMSSA/PMU workplan and TA and training)

A number of problem areas were identified in relation to the process of institutional assessment

The problem areas relate both to the tool used as well as the process of implementing the tool

The manner in which the tool was initially conceptualised was as a means of providing the PMU with information about the sub-grantees in the areas outlined above. It was not conceived as being used for the purposes of an institutional audit, yielding information that could be utilised to form baseline data against which progress could be evaluated.

Following the first round of assessments, it was felt that the tool was too detailed and attempted to capture organisational information that was not necessarily relevant. Also the fact that only head offices were visited and not the satellite or regional offices meant that not all relevant information was captured.

Furthermore, it was later discovered that CPF was on the verge of disappearing or that there had been no prior collaboration between ACCORD and KBT regarding their submission. This meant that KBT's capacity would have gone unassessed. This raised concerns regarding the assessment process.

In terms of the process of institutional assessment in the second round, CAII reports that the analysis of information emanating from these assessments has not been completed.

Furthermore, the quality and extent of the assessment and the information gathered has been found to be insufficient in certain aspects, due to the nature of the tool, the administration of the tool and the issue of time available to assess each institution.

With regard to the tool, it should be noted that there were revisions made before the second round of RFAs. However, discussions with both CAII and IMSSA have revealed that the tool still has certain limitations (e.g. capturing specific information on management systems in place). CAII is currently accessing similar work done by its international partners with a view to making further revisions to the tool. Furthermore, a preliminary assessment of the tool is presented below and this may be used to further inform the revision of the tool.

Assessment of Institutional Assessment Tool

The following comments are part of a preliminary assessment of the tool and in no way claim to be a comprehensive assessment. The comments are made to assist in the process of revising the tool.

The tool conflates a range of issues of institutional capacity, requirements/tasks of the particular sub-grant and the institutions' understanding of the context/terrain. While these are important, it would help to separate the issues.

In terms of assessing institutional capacity, there should be a clear focus on defining **current status**. Key issues such as missions/strategy, structure, management systems/processes, policies (administrative/HR), core functions, roles/responsibilities, staffing levels, products/services and clients need to be assessed.

For example,

Mission/Strategic Plan

- What is the vision/mission of the organisation?
- Does the organisation have a strategic plan/business plan (what are the strategic objectives)?
- What is your strategy regarding sustainability?

Structure/Governance

- Describe the current structure/organogram and accountability mechanism (e.g. management board, management etc).
- Are there clear/documented roles and responsibilities in relation to the structure?
- Relationships between head office and regional office (delegated authority)?

Functions

- What are your current core functions (e.g. research, training)?

Products And Services

- Describe the range of services and products you offer
- Who are your current/recent clients?
- Are the services packaged and ready to be delivered?

Based on the above information from the respondent, the assessor should then go about assessing the **match between the current status and the requirements of the sub-grant**. Otherwise the respondent merely says what the assessor wants to hear.

For example

1.3 your current purpose is not in alignment with the objectives of the sub-grant, how will you address this?

2.3 your description of your management capacity suggest that you will have difficulty managing the current sub-grant, how will you address this

5.3 your resources at your regional office that will be delivering services is very thin, how will you address this

In addition to the separation and the process being suggested above, the tool needs to be more specific in assessing key issues such as management systems (e.g. financial, performance management etc)

For example, 2.2 'how does management function?' is very broad

There are also virtually no questions around structure apart from 1.1 'does your organisation have a management board?'

Based on the above analysis, the following applies

Recommendation

The institutional assessment tool needs to be revised as a matter of urgency. This should be done in conjunction with specialist expertise in the area of organisational development auditing.

The PMU and CAII should plan another round of institutional assessments with the specific view to

- *establishing proper baseline information (even if the current status includes new capacity that has been built subsequent to the grant-this can be captured)*
- *establishing the match between current capacity and the existing/changed implementation plan (the following recommendation has to be read in relation to the recommendation on revisiting implementation plans)*

The grant making process, and the consequent technical assistance and training, has already assisted organisations in building their institutions

Most organisations have spoken very positively about their involvement in the process particularly from an institution building point of view. Specific issues that have been identified include the following

- The process of developing implementation plans has left organisations feeling that they are now empowered to apply the methodology to future projects or tenders with which they may be involved. In particular, the issue of matching planning to budgeting process has been a learning process
- The workshops on organisational policy and procedure and the processes of developing documents in this regard has meant that institutions will soon have documented frameworks to guide their operational functioning. This has been described as extremely useful by most of the sub-grantees
- The financial reporting and monitoring system applied by the PMU has meant that a number of organisations have had to develop proper capacity to implement and maintain effective financial management systems. In addition, sub-grantees have reported that the PMU is providing useful support in this regard, which is making the goal of building financial management capacity a reality
- Many sub-grantees spoke very positively of the report writing training that they received. However, these comments have to be balanced against the fact the quality of reports still require further improvement

There are still a number of areas of institutional weakness that require addressing

Despite the gains made in the project to date, there are still areas of institutional weakness that need to be addressed. This is linked to a range of issues

- Organisations have been naive about, or overstated, their capacity
- The complex nature of the local government sector and the fact that most organisations do not have a track record of working directly in the local government sector

It is against this backdrop, that the following institutional issues that emerged from the evaluation are raised

3 2 2 2 Management Issues

- Where there is a head office (geographically separate) and a regional office/regional delivery, there appears to be a lack of effective communication, role clarity and delegation of authority (what can be decided at regional office)
- The expressed need from certain organisations to engage in strategic planning processes to help chart some direction of where the organisation is going particularly from a sustainability perspective. These sessions are also expected to assist in addressing some of the problems raised in regard to communication, role clarity and structure
- Developing financial management capacity of sub-grantees

3 2 2 3 Resource Issues

In some instances, the reality is that there may have been an underestimation of resources required to efficiently realise the programme objectives. There is thus a need for organisations to revisit their implementation plans and to negotiate with IMSSA as to how these resource gaps can be addressed (e.g. CCMR need to appoint an office administrator, KLTC requires a fieldworker based in Mpumalanga). The issue of related skills and competencies also needs to be addressed.

Recommendation

Sub-grantees need to be proactive in the building of their capacity and should not merely wait for the initiative of the PMU. Training programmes that are valuable or trainers who are excellent, need to be recommended to the PMU and to fellow sub-grantees who may have the resources to contract in the benefit. In short, sub-grantees have to take responsibility for their own capacity building, while utilising the support made available by the PMU.

3 2 2 4 Programme Issues

In this respect, there are some key issues

- Generally, the timeframes for implementation are very tight
- There is a lack of detailed activity plans regarding the development of material, the piloting, evaluation and validation of material (quality, relevance, level)
- There is a lack of detailed activity plans outlining the selection of trainers, the training of trainers, the evaluation of trainers
- Lack of clarity as to how training programmes / workshops would be evaluated (process and tools) Where tools exist they are either very quantitative or very general
- Lack of clear follow up mechanisms beyond the training to evaluate how beneficiaries have benefited

Recommendation

Part of the review of the implementation plans is to build in the valuable processes (including the development of systems, procedures, executive counseling or other) that unfold in the process towards capacity building. The preoccupation with training (even though required by the brief) must be located in a broader context of value adding processes and activity that all sub-grantees are engaging. The impact made includes the value added processes along the way, the kinds of support (even small or seemingly insignificant), the in-depth interactions that prove to be of great help at the end of the day and the interventions needed in what may seem to be mundane issues. These all add up to the what the sub-grantee may mean to the beneficiary at the end of the day.

3 2 2 5 Sustainability Issues

Sustainability strategy is a vexed issue since one needs to be careful about expectations and responsibilities declared in this regard. The impact on any donor-based process where funds are disbursed in exchange for work done is significant to interrogate. The hallmark of success is when a sub-grantee is weaned off the supply the funds. Funding has its limits and organisations need to assume responsibility for their own survival. The difficulty of course is to establish indicators of successful sustainability strategy that each organisation needs to have in place at the end of the programme. This needs to happen without IMSSA unrealistically committing itself to doing more than

what it is capable of doing, and to what it has committed itself in terms of its three core responsibilities. In any case, IMSSA has to ensure its own sustainability.

The emphasis for IMSSA must be on sustainability strategy and not ensuring the sustainability of the sub-grantee itself. The key challenge is assisting the sub-grantee to develop a viable sustainability strategy framework given where the organisation is at and to define an implementation plan with performance measures to effect this. This implies that each sub-grantee needs to be assisted individually as a customised plan will be of greater benefit than a generic one.

The process of termination is most critical for IMSSA to effect and this has a direct bearing on the question of sustainability and the capacity of sub-grantees (especially the weaker ones) to survive post their grant period. The probability of dependence on IMSSA cannot be overlooked and a termination process at least three months prior to the end of the grant period must be set in motion. It is during this phase that sub-grantees have to come to terms with the prospect of no further funding nor technical assistance that they have previously been enjoying. It is also during this phase that the PMU staff will assist all sub-grantees to concentrate on their own sustainability strategy and plans.

Recommendation

The foci of the IMSSA intervention in this regard should be on the following:

- *Assisting the sub-grantee formulate a viable sustainability strategy framework through an organisational development intervention process. This has to focus on short to long term activities that need to be undertaken.*
- *Identifying further capacity building needs in helping to ensure the operationalisation of the above-mentioned framework. Focusing on the most salient needs to be addressed and drawing sub-grantees together where their needs are the same. The stronger organisations will differ in their needs and may need a separate programme.*
- *Organising a workshop for all sub-grantees to facilitate a sharing of ideas and in particular, exploring the idea of partnership formations and joint tendering where feasible.*

3 3 Programmatic Impact

At the time of the mid term evaluation, most sub-grantees had not begun their actual training of beneficiaries. Most of the time up to now has been spent on building organisational capacity and engaging in processes of consultation to lay the foundation for the intervention. Given this, the comments in this section will be restricted to the two initial Sub-grantees from the first round of the RFA, that is, the North West Paralegal Movement (NWPLM) and The Community Dispute Resolution Trust (CDRT). Also, comments will focus on actions in relation to beneficiaries.

3 3 1 Initiatives undertaken this far

➤ CDRT

The above institution has engaged in a broad process of consultation and identified the following areas of intervention (see CDRT report below)

- Development of communication and mediation skills through the training in mediation, negotiation, facilitation and leadership skills
- The establishment and implementation of dispute resolution systems at local government level

CDRT has developed the necessary materials (manuals for trainers and trainees) and have translated these into Xhosa

The implementation of the training process could not get under way due to a range of difficulties related to context within which the programme is located (see Report Below). This has meant a need to review the CDRT plan, which is planned for April.

Thus far, only five workshops (91 participants) have been completed. In terms of the additional areas, the total number of workshops to be completed is thirty-nine.

Preliminary assessment of some participants (5 councilors from Mt Ayliff) indicate that the interventions have contributed to a nurturing of communication between the different stakeholders and that there is a readiness to talk about issues which cause disharmony. The understanding of different roles and mediation skills were also cited as useful. The fact that Chiefs in the area have also been very keen to have all their leaders trained (nobody wants to be left out) is positive in terms of how the programme is being viewed (although this could present difficulties in terms of numbers to be trained). Discussion with trainees also indicate that they have a good understanding of what CDRT wants to achieve.

With regard to the IDRS, CDRT are currently uncertain as to what they are expected to do. While they contributed to the initial research phase (visit by the consultant, D Nina), there has been little communication or contact since then. In particular, the organisation is concerned about its future role, particularly from the point of view of what information should be documented to feed into the development of the system.

➤ **NWPLM**

The NWPLM consultation process involved the setting up of separate meetings (formal and informal) with the following stakeholders (Civics, key youth leaders, local government officials, councilors and traditional leaders). These meetings were facilitated by fieldworkers from the participating centres. A meeting of these facilitators was then organised to consolidate the findings from the consultation process. The following objectives were then consolidated:

- To enhance relationships among role players through role clarification within the context of community development (through workshops with role players)
- Strengthening the conflict management skills amongst the identified stakeholders
- To introduce IDRS to institutions/stakeholders in local government

The facilitators meeting was also used to identify the specific stakeholders to be trained (see NWPLM report October-December 1997).

The development of training material was outsourced to a specialist. However through a workshop process with all participating facilitators, the material was adapted and refined to suite the North West Province context. These materials on role clarity and mediation skills were then piloted at workshops held on the 13-15/March 1998 and 20-22 March 1998 respectively.

According to the project manager, these pilot sessions revealed that the material was suitable and that particular areas such as inputs on the Land Development Objectives had to 'beefed' up. Post workshop evaluation forms were used as an assessment tool and the evaluator studied a sample of the completed evaluation forms. On the basis of this the evaluator expressed concern that assessment of the materials (and the training process) could have been more rigorous.

The training of trainers has also been completed during a two and half day training process at the end of February 1998. There did not seem to be any

specific mechanism to test the effectiveness of this train-the-trainer process and whether the trainers were ready to be conducting the sessions

The training will commence in April and be completed in July. A total of 6 workshops on role clarification and 6 workshops on mediation skills will be conducted. In total, 120 people will be trained (the same participants will be used for both sets of workshops)

3.3.2 Assessment of Systems in Place to Ensure Programmatic Impact

➤ CDRT

According to CDRT there are no major shortcomings in terms of resources or systems that would prevent them from delivering in terms of their implementation plan. However, the revision of the implementation plan will require a marginal increase in budget. Given the area, travel expenses are also likely to increase.

➤ NWPLM

In terms of systems to ensure programmatic impact, it was suggested that more rigorous mechanisms of evaluating the training sessions and the trainers be put in place. It was suggested that the NWPLM treat the first two training sessions as further pilots in order to refine both the material, the training process and the trainers. It was also suggested that the 'more experienced' trainers be used for the initial sessions and that the other trainers be invited to observe the process.

Apart from these specific issues, the NWPLM felt that there was a good match between their current resources and their implementation plan. However the issue of appointing a full time director still needs to be resolved (See NWPLM report below)

The section dealing with final evaluation issues will contain detail on impact issues that need to be considered in the summative evaluation, and mechanisms to be put in place to ensure that these can be adequately assessed.

3.4 Concluding Remarks

The umbrella process is indeed a success and a model in terms of grant-making and the development of any sector by players who have intimate insight and knowledge about that sector. The impact of this concept needs to have its own defined measurement yardsticks not only in terms of the activity related to sub-grantees, but as a concept that can drive a whole new

orientation to delivery support in our country. In addition, both USAID and IMSSA need to ensure that the PMU experience is well documented and assessed at the end of the programme as a strategy for both USAID and other donor agencies to seriously consider in the future.

SECTION FOUR: FINAL EVALUATION IMPACT ISSUES

An assessment of the impact of sub-grantee conflict resolution programmes is in essence an assessment of meaningful changes and improvements that have taken place at the beneficiary level. In order to assess these changes or benefits, there needs to be a clear sense of where communities were at prior to the implementation of the programmes for a comparative analysis to suggest any impact. This is the challenge facing IMsSA and the sub-grantees in terms of their implementation strategy.

Some of the critical impact issues to be considered for the final evaluation include the following:

- **Increased community involvement in conflict management processes**

The base-line data that needs to be collected should be in the form of a detailed community profile of each targeted community where a cross section of the community (including those involved in conflict management processes, Local Government, Provincial Government, NGOs and community members) have been engaged. The interviews should elicit opinion and views of:

- the extent of community involvement currently
- mechanisms that hinder and promote involvement
- levels of confidence of community members in helping to address conflict, especially when dealing with Local Government Councilors and Officials
- evaluations of actual conflict management processes (past and current) and how they were resolved or not resolved and the extent of community involvement
- a skills audit of those who have conflict management skills
- an assessment of needs (capacity, information and other) related to conflict resolution particularly in terms of the case studies

Since most of the sub-grantees are in the initial stages of their implementation processes, the timing seems appropriate to encourage them to meticulously document the above mentioned community profiles and conflict resolution case studies. This in turn will inform the training programmes and the content of the training manuals. The profiles, training programmes and manuals will become the key reference material when an impact assessment is done for comparative purposes. It is recommended that the format of the data as itemised above be the same format for the impact assessment.

The profiles in themselves will be raising a range of strategic questions for the sub-grantee to respond to through their delivery efforts. These

questions will not only refer to the kinds of skills and resources that need to be transferred but will in all likelihood speak to the need for the development of systems and procedures, the need for executive counseling and support and other elements that can be tracked through the life of the programme. In this regard sub-grantees are encouraged to document information such as

- the ongoing support offered that has made a difference other than the transfer of skills or consultations
- contribution to the development or refinement of systems and procedures where the usefulness and impact are confirmed by those affected
- the extent to which groups or individuals at conflict have been brought closer together through the consultation processes, workshops or meetings
- the levels of confidence and competence of the trainees who through the application of skills, are in the process of acquiring experience
- The delivery of qualitative training programmes and the monitoring of who attends these programmes and how they are applying what they have learned

The above issues can be tracked / monitored on a monthly basis or when the appropriate processes unfold

The dispute resolutions systems must be assessed in similar vein. The extent to which the IDRS will be fully implemented to effectively assess impact is highly questionable but the design and the development of the system will inform the development and refinement of community based conflict resolution systems. What will be important to assess is the presence of any organised system of dealing with conflict resolution at the community level that has unfolded organically through collective community experience. It may be a conscious deliverable on the part of the sub-grantee to develop or build on conflict resolution systems that exist. The key consideration in all of the above mentioned is about sustainability. The success of the sub-grantee can be measured by the kinds of systems that have been left in place that will sustain effective conflict resolution by the community stakeholders themselves.

- **The reduction of conflict among Local Government and communities**

The reduction of conflict can be seen as both an indicator of success but also as a necessity where it is constructive. To seek the reduction of conflict that is destructive and compromising should be the focus of the impact assessment. The field of Local Government and community relations depending on a

number of factors is a highly contestable terrain where conflict is a reality. The issue is not the conflict itself, but the capacity to best manage conflict in order to reduce negative impacts

- The base line data approach is the same as outlined above where again through case studies, a comparative analysis can be done as to the extent of reduced conflict
 - Where there are current conflicts, these can be tracked in terms of the guidelines noted above but with a particular emphasis on service provision and delivery. It will be interesting to note all delivery processes that have been / are being stalled or shelved because of conflict and contestation
 - It must be understood that issues are very often complex in nature and a deadlock between communities (not receiving services) and local government structures (not receiving income) is more than just a question of conflict. The impact in the reduction of conflict cannot therefore be solely ascribed to the transfer of skills or the development of systems. This will make it difficult for IMSSA to assess the extent of the reduction in conflict unless a conflict situation has emerged and has been resolved during the life of the sub-grantee project. The assessment of reduced conflict in a contested terrain is a long term assessment and does not seem realistic given the limited time frame of the sub-grantee programmes
- **Positive and negative results of the programme**

Positive and negative results of the programme is an important part of an impact assessment process where the emphasis is on seeking positive impacts that have been made. Much has been said about identifying positive results. Negative results must be given special attention as the sub-grantee will find it difficult to track and document negative results that reflect badly on them.

Examples include the following

- Through consultations, the identification of trainees and participants of workshops, the question of inclusion and exclusion is of critical importance. Those who have felt excluded for whatever reason need to be interviewed and engaged around their views as to the success of the programme. It will be important to assess the damage done to relations or to political processes in communities

- The challenge with the training of trainers processes is that often in actual training situations, the trainee does not perform and disappoints the participants or a sensitive issue is not handled appropriately which causes further conflict. While sub-grantees need to ensure that this does not happen, it will be useful to assess the results of the training workshops on participants.
- A key problem at a community level is when an institution (especially if not based locally) draws on the experience and wisdom of communities and uses this information as its own. The development of intellectual capital becomes a contested issue when communities feel cheated. This needs to be assessed not only when it comes to products but also when access has been given to privilege information that is carelessly used or something said in confidence is exposed. These create negative impacts and the assessment process needs to formulate questions that will test the above mentioned.

The important issue in terms of the above mentioned is to identify the appropriate sources as these may be persons that may not be part of the programmes of the sub-grantees.

- **Other impact issues**

Other impact issues that may be important to consider include the following:

- The profile of sub-grantees will have been enhanced depending on the success of their programmes. Where communities have confirmed their support for the sub-grantee especially in terms of their value adding activity, this accounts for the impacts that have been made in that community. This kind of impact needs to be assessed to establish from a sustainability point of view, the extent to which the organisation is allowed to continue its work.
- The assessment of the impact of the umbrella approach on the sector is another consideration. This needs to be done as a comparative analysis process of other similar and dissimilar programmes. In this regard it is imperative that we move beyond the IMSSA programme and define its broad objectives, successes and impacts as a yardstick against which the following are assessed:
 - (i) Dissimilar programmes where there are no umbrella grant making structures and where an identified institution has not benefited through any technical assistance processes from their grantors. In this instance a sample of these

organisations (where they can be found) can be interviewed to assess their needs, progress and impacts and their views as to the benefits they could have derived had they been part of an umbrella grant making process. The key issue is which approach has had a greater impact on delivery (capacitation) in the sector

- (ii) We need to assess if there is a similar programme in terms of the grant making approach even in another sector to test the efficacy of the approach and concept. Here issues such as a deep understanding of the sector on the part of the grantor, technical assistance processes and impacts, the mobilisation of sub-grantees around common programmatic objectives and other can be tested

ANNEXURES

Sub-grantee reports

Centre for Conflict Resolution (CCR)	1
Quaker Peace centre (QPC)	6
Urban Monitoring and Awareness Committee (UMAC)	10
Community Conflict Resolution Trust (CDRT)	15
King's Basket Trust (KBT)	21
King Luthuli Transformation Centre (KLTC)	28
Wilgespruit Fellowship Centre (WFC)	33
North West Para-legal Movement (NWPLM)	40
Community Conflict Management and Resolution (CCMR)	46

CENTRE for CONFLICT RESOLUTION (CCR)

Introduction to the organisation

The Centre for Conflict Resolution (CCR), formerly the Centre for Inter-group Studies, was founded in 1968 as an independent institute associated with the University of Cape Town. Although based in the Western Cape, it works nationally, in Africa and globally to fulfil its mission. The centre's mission is clear:

To contribute towards a just peace in South and Southern Africa by promoting constructive, creative and co-operative approaches to the resolution of conflict and the reduction of violence

The centre has a long tradition and established interventions in terms of the conflict management and resolution sector and clearly, the IMMSA supported project represents but one of the programmes managed by CCR. The primary terrain for the IMMSA supported project is the Free State where CCR has set up the necessary infrastructure in association with Freloga to actively support and promote the objectives and programmes of the project. CCR was one of the sub-grantees that came on board recently which implied that it has not yet achieved its planned impacts.

Process of engagement of the evaluation team

The necessary documentation concerning the CCR was analysed. The consultant visited the offices of CCR and attended a full staff meeting, which included the Director, Laurie Nathan. The purpose of the staff meeting was to interrogate the IMMSA supported project and to assess progress to date. There were approximately 13 staff members excluding the consultant. Following the staff meeting the Consultant had an in-depth interview with the accounting team of two staff members and a detailed interview with the Project Co-ordinator, Rodney Dreyer. Lunch was organised which two other team members attended.

Findings and analyses

Programme:

The implementation plan that was set out by CCR is well articulated in terms of how it wishes to address the set objectives. The stated goal is broad and all encompassing and reads the following way:

To improve the quality of life of people in the Free State through impacting on the effective delivery of services and development

The objective

Within 17 months CCR in partnership with Freloga will develop tools to build capacity of local councils, traditional leaders, representatives of civil society, officials in Free State for effective local governance

The project has been named the "Conflict Resolution Skills and Practices Programme" (Crespp) which essentially captures the very essence of the project and covers the entire Free State province in terms of its geographic scope. The goal and objective are adequate and are consistent with the detailed plans as outlined in the implementation plan. The focus though in terms of the objective is the development of tools to build capacity rather than the development of capacity for the purposes as outlined in the situation analysis which referred to problems such as lack of clarification of roles and responsibilities, no relevant communication channels, ineffective decision making and other. While the programme detail and name (Crespp) clearly speaks to addressing the above-identified problems, the overall goal and objective of the programme do not and this inconsistency needs to be addressed. The staff raised a similar challenge in arguing that the number of processes leading up to the transfer of skills (training) seemed more prominent than the actual training itself. This was in response to the fact that in the key objectives outlined during the staff presentation, skills training per se was not adequately emphasised. This reflects though the reality and nature of the project as much work needs to be done and processes managed before training can take place. The processes leading up to training such as the design of systems and procedures are empowering in their own right and raises the need for an expanded definition of the project beyond the narrowly defined objective of skills training.

Other key challenges included among other, the following

- More detailed work is needed in terms of fully understanding the legal framework that governs local government and their relations with stakeholders. While it was mentioned that the programme will be considering the legal issues, the key concern was that the legal parameters often introduce non-negotiable content and processes pertaining to local government. What was not clear was how the project will address these.
- The question of who the principal client is was also raised. The principal client is either the one that pays for the execution of the project (in this case Immsa) or is a locally based representative body (Department of Local Government, Freloga, etc) that will help to ensure the sustainability of the CCR programme long after the Immsa grant has been exhausted. The identification of who the principal client is for CCR is clearly needed as this helps to determine future sustainability strategy of the project.
- As noted above in terms of the narrow focus on skills training, there is the implicit assumption that the transfer of skills will effectively deal with

conflict This has been addressed above where the project is directly involved in the design and development of systems and procedures as well

The project-monitoring plan reflects a general delay in implementation between planned and actual activity by an average of a month This has not, it seems, significantly impacted on the progress of the project as the project is in its infancy stages The project design reflects a phased approach to delivery where the first phase of "entry" into the Free State and the targeted beneficiaries is on track since consultations have been undertaken and relevant material and legislation analysed

Comments have been directed at the Monitoring and Evaluation (M& E) formats which the Project Co-ordinator found to be less useful and has since proceeded to design his own format The redesigned format contains the basic elements in terms of activities, time frames, indicators and results but excludes the detailed numbering

The Integrated Dispute Resolution Systems (IDRS) is still in the research phase where a first meeting was held with all the Project Managers A subsequent meeting that was planned to take place in Middleburg was postponed to a later date as the consultants were not sufficiently prepared The Project Managers constitute the reference group that will assist with the design and development of the IDRS in co-operation with C Arendse and D Nino, the consultants contracted to manage the process of design and development This contribution by the CCR is indicative of the resources and experience located within the organisation in terms of the sector which is further recognised by the fact that CCR is at present building the capacity of two other sub grantees as well

The dynamic nature of the implementation framework has called for variations to project costs to the total increased value of R354 885 representing the revised needs of the amended implementation plan and budget This is significant in that the first implementation plan has obviously been less informed of reality than the amended implementation plan This process in itself shows a maturing project plan that is sufficiently flexible and accommodating to ensuring the successful achievement of the stated objectives What is more significant to note, according to CCR, is that Immsa recognises this reality as well

Resources

The project has made the following possible in terms of human resources

- Book keeper for 75% of her time
- Project Co-ordinator for 60% of his time
- Project Fieldworker
- Contracting in of a senior trainer

It seems the resource capacity of the project is adequate especially with the contracting in of a CCR senior trainer from time to time. Since the resource panel has been set up, the necessary capacity where needed can be accessed for the purposes of training as there may be programmes running simultaneously.

Office infrastructure and operational means have been set up and the partnership with Freloga has gone a long way to facilitate the functioning of the office.

Impact

The impact to date of the project is too early to tell as the project has recently been activated. Impact in terms of the transfer of skills and the results on development management, procedures and systems and the improved functioning of local government structures and stakeholders can only be meaningfully assessed by December 1998. To date the entry phase is near completion, the necessary office infrastructure has been set up, a co-operation framework has been formalised with Freloga, the necessary assessments and consultations have been effected and an orientation workshop for 12 resource panellists has been completed. Other initial activity have been completed in terms of the set objectives.

The challenge to the project is about boldness in claiming that because the project interventions exist, conflict will be reduced and / or local government functioning will be enhanced, etc. The challenge is not merely stating for the purposes of M&E what the project will achieve but in boldly but realistically asserting the critical value of the project to the Free State. This places the project under pressure by the beneficiaries to meet its targets more than by the sponsors in terms of their requirements.

Regarding intervention 1, the implementation writing workshop was seen as useful and helped to focus the design and parameters of the plan. This was an academic exercise though and needed to be shaped by reality that is now tabled in the amended implementation plan which has also called for the revision of the budgets. Part of the success in achieving impact is about flexibility and CCR has clearly demonstrated this.

CCR is an established organisation with a strong internal support base. The presentation at the staff meeting helped to shape the project design through the critical enquiry of staff, which in itself is a powerful form of organisational support. While there seems to be some incoherence in terms of overall project goals and project activity objectives, the implementation framework of the project is sound and responsive to the contextual dynamics that inevitably face all project plans. CCR has a confidence of its own that has matured over years of experience that reinforces a comfort that the project objectives, once underway in terms of projected time frames, will be met. The contribution of this organisation to the development of the IDRS and building the capacity of fellow sub grantees reflect its strategic positioning and indispensable value to the sector.

Recommendations

- CCR needs to ensure greater coherence and consistency in terms of its overall programme goals and objectives and the detailed activity in the implementation plan
- CCR has the responsibility (as a contracted agent) to ensure that the process management of the development of the IDRS is effected with transparency and speed as the identified problems, delays and uncertainties directly reflect on the organisation itself especially by fellow sub grantees
- The project has developed formats of its own in terms of M&E and other which may be necessary to share with the PMU and other sub grantees in an effort to streamline processes, procedures and formats
- CCR needs to embrace the challenge that skills transfer alone will not address conflict at a community level. The embracing of the challenge is not that CCR does not recognise this fact but that it needs to articulate in a balanced way its current process of interventions where it is focused at developing systems and procedures and systematically building on processes where training is but one of the products. This not only has to be articulated in a more sophisticated way but begins to challenge a narrowly defined pre-occupation with the transfer of skills through training programmes as events

Persons contacted and engaged

All staff members	At a staff meeting	
Rodney Dreyer	Project Co-ordinator	
VuyoKazi Mafanya	Book keeper	
Cavin Davids	Accountant	
Eldred de Klerk	Trainer / mediator	

QUAKER PEACE CENTRE

Introduction

The Quaker Peace Centre (QPC) has been in existence for a long time and has a range of other programmes that it manages of which the IMMSA supported project is one. QPC has been involved in the training of 20 mediators of the Mediators Association that is being set up, trained youth in conflict handling and leadership and peace skills training as part of its rural support programme. These are a few of the involvements of the organisation. The mission statement of QPC is the following:

QPC is a team of Peacemakers working with people towards a life which encourages the creative non-violent resolution of conflict through promoting awareness, co-operation and empowerment.

While QPC has office infrastructure in Cape Town, the focus of the IMMSA supported project will be in the Eastern Cape, particularly Graaff Reinet, Aberdeen, Middleburg and Murraysburg in the Western Cape. These four towns have now been extended to 12 towns.

Process of engagement

The consultant has reviewed the documentation relevant to the QPC and undertook a site visit to the Cape Town offices.

The engagement covered issues pertaining to grant making and programmatic functioning of the project.

Findings and analysis

Programme

The QPC has asserted that it is new to the process of tendering and in fact their first application to IMMSA was turned down. This was largely due to the fact that its programmes and arguments were not framed in a way that is appropriate for tendering. In this regard the implementation plan workshop was extremely useful in building the capacity of the organisation as the mechanisms and tools of planning and monitoring and evaluation have been so significant that they are now used for all the other projects at QPC.

The implementation plan of the QPC is adequate in terms of the design of its activities to meet the objectives. The goal has been stated as the following:

To improve the quality of life of citizens in four towns in the Karoo / Eastern Cape by enhancing the delivery of services and development through the imparting of conflict handling skills

The scope of work has since changed (initially four towns) as QPC has now determined that 12 towns will be requiring their interventions, which obviously will impact on the financial resources, originally determined. The implementation is well designed with a very useful costs column that gives an instant idea of the particular costs involved. QPC has reported that its plans were approved in November 1997 and that it has to date not yet drawn from its first instalment transfer. It has however initiated work and will draw on funds retrospectively. The research processes have now been completed and training is due to start in May this year. The processes in terms of delivery have recently begun with delays and it is far too early to assess any impact in terms of progress made. Most of their deliverables have time frames that extend into the year and that will have to be assessed at the final evaluation.

QPC has expressed concern about the flexibility of operational plans but it has to some extent built contingencies into its processes. The concern is about community dynamics and changing contextual realities that will have a direct impact on planned budgets. A new reality that has for example impacted on the project concerns the transportation of clients to training programmes. Where clients are not transported, they will not attend the processes and programmes planned. These new costs need to be factored into the budgets that have to be revised on a constant basis as projects become informed of the issues and processes at stake.

Another reality in the information gathering process is that a range of other needs emerge, some not related to the project focus but there is a clear expectation that QPC needs to help. This adds pressure to the project and its intentions as other problems are equally important and often impact on issues of conflict. These new needs have to be accommodated where feasible without QPC running the risk of being all things to all people. The balance that needs to be maintained in keeping to the stated objectives of the project and responding to the myriad of needs that are equally important is a difficult balance to maintain. This calls for a referral system as the QPC cannot divert fundamentally from the goals and activity for which the grant has been formalised. This needs to be a negotiated process with IMMSA.

There is no fundamental variation between the proposal and the implementation plan except for the increased scope of work that was decided on. The decision to expand the scope of the project to 12 towns is an attempt at increasing the impact of the project to more communities.

This raises interesting trade off issues in terms of quality of intervention that the QPC needs to address as the four-town focus allows for depth and quality whereas 12 towns introduce the possibility of compromise. The numbers of

approximately 50 persons per town need to be seriously considered in the design of the training programmes and the quality of the transfer of skills

The training efforts of IMMSA have been viewed positively as the training needs were reflected up front in the implementation plans and the impact of these learnings have been felt by the organisation as a whole. The whole experience in the tendering process has been seen as a good one.

Concern was expressed at the development of the IDRS where after the first engagement, no further interactions have taken place. There is dismay at the fact that all the sub grantees have expertise and experience but only CCR, it seemed, has been recognised with the relevant capacity. This needs to be addressed perhaps probably only at the level of perceptions.

Resources

The human resource complement according to QPC will remain the same in terms of number but there may be different people that will undertake the work. Other resources such as Fairshare may be contracted in to deal with specific challenges.

In terms of physical resources, the weakness of the QPC approach is that there is constant commuting between Cape Town and the Eastern Cape and there is no support base in the province itself. Facilities will have to be sought for training but a lack of a constant presence may impact on any follow up work that will be needed. This issue needs to be addressed not in terms of establishing an office but more in terms of ensuring that follow up and ongoing presence is maintained.

Impact

The programme activities have reached a stage where the research has been completed and training is earmarked for May this year. It is far too early to assess in any meaningful way, the impacts achieved through the various interventions. This will be more successfully done at the end of the year.

A key issue for QPC to consider is its decision to expand the scope of the project to 12 towns and how it will be managing issues such as quality and consistency especially in terms of follow up support. This is given the fact that it has no local office infrastructure.

Recommendations

- QPC to address the expanded scope of the project from a quality and delivery perspective
- Ensuring a presence in the province is critical and a strategy needs to be worked out (where needed) of compensating for not having infrastructure in the province
- All sub grantee reports and findings need to be circulated to each other for the purposes of information sharing and learning from each others' experiences
- The issue of addressing the myriad of community needs must be attended to as QPC needs to be focused in terms of its project objectives and must find alternative strategy through referrals for meeting expressed needs not within the project mandate to address

People Consulted

- Jeremy Routledge as the Project Manager
- Georgina Mbambo as the Trainer / Consultant
- Albert Dayile as the Trainer

URBAN MONITORING AND AWARENESS COMMITTEE (UMAC)

Introduction

Umac has a long history in terms of the sector and was launched in the Western Cape 12 years ago. UMAC has been involved in taxi mediation, the integration of militarised youth into formal society, conflicts between communities and the SAPS and the resolution of conflict between Traditional Leaders and democratic leaders in East London, to name but a few. UMAC has office infrastructure in Cape Town, Port Elizabeth and East London and has as its objective

To promote within and outside of the SA, a democratic and participative culture, involving the peaceful resolution of conflict both within communities and between communities and organs of the State

The Eastern Cape project was launched in 1997 using non-IMMSA funding

Process of engagement

The consultant reviewed documentation relevant to UMAC including its operational plan. The Cape Town office was visited where the Director Alicia Pieterse and the Assistant Bookkeeper, Marcus Coetzee were interviewed. These interviews focused on the grant making process and finances as the UMAC head office handles all the financial accounting responsibilities. After this, a visit was undertaken to the Port Elizabeth office where the Project Manager, Mark Jansen was interviewed. This interview focused on the programmes itself.

Findings and analysis

Programmes

The programme objective that was articulated includes the following

To strengthen effective governing structures in the Eastern Cape by providing conflict resolution skills and mechanisms which focuses on reconciliation and reconstruction to ensure a peaceful and democratic environment

The programmatic functioning of the Project is well underway but it must be noted that this is a recent project in terms of the IMMSA process. The impacts of the programme will only be clear closer to the end of this year.

Most of the activity earmarked for the period ending February 1998 in terms of the interventions have either been completed or are in the process of

completion These include the gathering of information, consultations, completion of the discussion document and the groundwork covered in terms of the trainers (panel) The bulk of the activity is targeted for the post February 1998 period The activities in terms of the interventions are adequate and reflect a clear understanding by the Project Co-ordinator of the kinds of interventions needed to realise the objectives that have been determined

The project has produced a product that is a discussion paper on "The role of Traditional Leaders" The process leading up to the development of the product has helped UMAC with its entry into the defined terrain, as many leaders have been sceptical of UMAC as a project with an urbanisation focus This has since been overcome as the beneficiaries have realised the real mission of the project The question of ownership of products produced has been raised where there is uncertainty as to whether IMMSA / USAID need only be acknowledged or where there is deeper ownership issues to be resolved UMAC is of the opinion that acknowledgements are all that are needed and that prior experience, the fact that all its staff members contributed to the development of the product (not all are paid out of the IMMSA grant) and other clearly argue for organisational ownership of the products they develop This raises an issue though when it come to the development of the IDRS and the freedom to use the system

The implementation planning workshop where the initial proposal had to be revised was described as a useful experience and the mechanisms and tools used as valuable for other project activity within the organisation There was a bit of antagonism at the implication by the workshop facilitators that what was initially written was not correct The feeling here was that the confidence of sub grantees needed to be built up through constructive feedback and sensitivity rather than through bulldozing imposed formats Despite this the outcome of the workshop was favourable

The implementation plan (current) has however changed in response to the contextual realities facing the project showing that the project has been responsive to the dynamics facing it These necessary changes have also been in response to people asserting that if they are needed for workshops, they need to be transported The increased cost implications directly refer to spending that is needed to facilitate access to and for the mobilising of beneficiaries realised the project objectives

The project has decided to pilot four TRCs in terms of its interventions but has been confronted with 15 TRCs requiring training While the need for piloting has its own merits, the project has to deal with the increased demand for its services and resources which in essence represents only the beginning of the need that exists in the Eastern Cape

Despite this, there are two other sub grantees operating in the areas as well including the Quaker Peace Centre and CDRT The point raised in this regard is that although the agencies are working in different geographic areas, the skill

transfer processes and content are the same. There has to be greater co-operation between these agencies perhaps in jointly running the training programmes, sharing training resources and other.

Products such as the one noted above, training manuals and the outcomes of needs assessment processes need to be shared with the agencies working in the same province not only for the sharing of resources but for ensuring coherence and synergy. UMAC has expressed its willingness and commitment to this kind of sharing. The training manual is however due for completion where the final product and testing will be done by 1 May 1998.

Concern has been expressed about the development of the IDRS as only one meeting was held and the subsequent one postponed. There is definitely a communications problem with the development of this system, as all Project Co-ordinators need to be involved in the process of its development.

The concern has also been expressed about the flawed pre-occupation with training as the only mechanism to deal with conflict and that there are a range of systems, procedures and other elements that need to be developed and refined through the interventions. The implementation plan is geared towards the transfer of skills yet there are a plethora of other problems that need to be addressed as well, all of which have an impact on conflict, on decision making and public participation to name a few. These realities are the challenging factors to a set plan that at some point may have to be critically self-reflective to assess impact and meaning. The Project Co-ordinator has a strong sense of this reality and a deep understanding of the issues at hand to be resolved. The challenge remains that of balancing responses to real needs expressed while keeping to the objectives that have been set, especially by USAID.

The training programmes that have been organised for sub grantees have been adequate, the most recent being the report writing workshop. Other training needs that were reflected included financial management and project management. There has been no concern or issue about the perception that training programmes are imposed on sub grantees and in fact, the needs were reflected up-front in the initial implementation plans.

Resources

The human resource complement has been noted as adequate as a panel of trainers are in the process of being established to assist with the planned training programmes. The recommendation of co-operation with the other agencies remains as a valid one as this helps to augment capacity needed for achieving impact.

UMAC has sufficient office infrastructure both in Port Elizabeth and East London and has all the necessary facilities to effectively manage the project.

UMAC will be requesting an increase in funding the value of approximately R200 000 and has complained that with a particular instalment payment, less funds were received than what was requested. This has proven to be an internal communication problem as well as the Accountant is removed from the functioning of the project in PE and East London. Despite this, IMMSA needs to ensure that all relevant parties are informed or alternatively that the responsible person is the Project Co-ordinator. Concern has been expressed by the contradiction in detailed budgeting required with vague actual expenditure reporting.

There seems to be incoherence between the detailed budgeted amounts that are required and what is a vague report format for actual expenditure. This imbalance does not seem useful in tracking expenditure against budgeted amounts – an imbalance that is puzzling to the sub grantee. The budgeted detail for some of the organisations are far too detailed and reflects a total lack of trust in the capacity of the organisation to manage their funds. Preference is given to larger amounts up front rather than what seems to be progress payments for work actually done.

The itemisation of budgets are helpful on the one hand but also create problems. When conceptualised without an appreciation of the contextual realities facing one for example – when one trip has been costed in detail without realising that three trips will be needed.

Impact

Impact is difficult to measure at this early stage of the development of the project. Much work has been done in terms of the interventions but not to the extent that they have a direct impact on the beneficiaries. A key consideration in terms of assessing impact is the realisation that the project is pressurised by a number of demands that may be directly in line with the interventions or there is a problem of scale where many more TRCs need to be serviced than what the project can handle. Key decisions have to be made about focus and about effectively using to the maximum, the limited resources the project has. The assessment of the key results of the objectives must be made bearing in mind the kinds of pressures that the project has been facing.

Recommendations and conclusions

The UMAC project is well under control and in competent hands in the Eastern Cape. There is a sober understanding of the issues at stake, the complexities in

dealing with beneficiaries and the need for project flexibility in responding to changing needs and circumstances.

All of the above have been well demonstrated by the project and its resources and it seems clear that the project will succeed.

Recommendations include the following:

- There is an expressed need for greater flexibility in the costing framework especially where the reality of project functioning determines that more tasks, visits, processes, etc. will be needed than what was planned. The problem with actual costing is that it needs to be pre-emptive and must cater for the unexpected as well.
- There needs to be co-operation between the agencies that are working in the same province in terms of material resources and training programmes that ensure synergy and coherence.
- The question of copyright has to be resolved in terms of ownership of products developed and the right of use when it pertains to the IDRS as a product.
- Clarity and transparency is needed in terms of the development of the IDRS especially in terms of the way forward with much clearer and measurable outcomes.
- UMAC needs to resolve its internal communication problems and should determine that the project Co-ordinator control the process of financial accountability. This does not mean that the Project Co-ordinator needs to do the actual accounting but must become the responsible person for finances and must handle all reporting and communication in this regard.

Community Conflict Resolution Trust (CDRT)

Introduction to the Organisation

CDRT established in 1991, operates in five areas North West, Western Cape, Gauteng, Natal and the Eastern Cape. Their offices are set up in Cape Town, Durban, Johannesburg and Kokstad with Johannesburg being the central office, responsible for administration and overall management.

In July 1997, CDRT signed a contract with IMMSA / PMU which provided support for a project in the Eastern Cape (Wild Coast District Council area) to provide conflict management skills training for local government and community structures.

The signed contract ran initially to November 1998, and will specifically look at strengthening

- CDRT internal capacity,
- developing mediation and communication skills through training in mediation,
- establishing and implementing dispute resolution systems at local government level and within strategically placed CBOs

Process of engagement of evaluation team

Visits to sub-grantees were divided among the members of the evaluation team. CDRT was visited by Yves Wantens. The process of engagement involved semi structured interviews with the director, the trainers, the coordinator of the project, visits to the offices and a group interview with 5 councilors of the Rural Local Council in Mount Ayliff.

Before the interviewing a thorough desk study was done from the CDRT - IMMSA contract, the implementation and M/E plan and the reports handed in so far.

Findings and Analysis

Programme

When the proposal of CDRT was put together, a situation analysis revealed that in the following areas, Mont Frere, Mont Ayliff, Bizana, Maluti, Flagstaff, Lusikisiki, Umzimukulu (Taban Xulu and Mt Fletcher have been added) there was a great lack of leadership skills among councilors. There was much confusion over roles of key players like the elected councilors and the traditional leaders and a lack of communication between the different role players and between the local government and relevant communities.

At the same time people refused to pay for services which undermined local government's capacity to meet needs while impatience and anger grew at the failure of local authorities to deliver

In order to deal with the situation, a programme designed by CDRT and IMMSA / PMU with the following objectives

- the strengthening of the CDRT's capacity,
- development of communication and mediation skills through training in mediation, negotiation, facilitation and leadership skills and
- the establishment and implementation of dispute resolution systems at local government level and within strategically placed CBOs

CDRT developed the necessary materials (manuals for trainers and trainees) and translated them into Xhosa Each participant in the workshop received a copy and a certificate on completion of the training

The implementation plan of CDRT is currently under review Putting the plan together was crucial to get the programme started, yet the realities on the ground have made it necessary to review the plan and adjust it, mainly in terms of timing and in terms of recruiting where people are not always clear about the programme (see report of October 1997 - Kokstad coordinator) This also came out of the visit and the interviews with programme people and beneficiaries

Initial consultations started in June - July but the programme implementation (running of workshops) only started close to the December holidays and in addition, the break for the summer holidays caused delay in effectively following up the contacts made earlier The remoteness of the areas is a factor that impacts on communications and response times In most cases people make repeated field visits to arrange meetings rather than by telephone Having traditional leaders as one of the major stakeholders implied that CDRT had to fit in with their schedules, meetings and rallies

In response to the above mentioned, CDRT has conducted two workshops simultaneously in the same area In addition attempts are made to secure a meeting with the Eastern Cape MEC for local government, to get his support as the benefits of the programme remain in question

A meeting with the PMU to revise the plan has been set for the end of April 1998

Looking at the congruence of the initial proposal and the implementation plan, the only variation is the addition of two extra geographic areas, all falling within the area of the King In addition, the stakeholders, which were overlooked during the initial phase, were the traditional healers

So far, what has emerged from the interventions of the CDRT programme is that communication between the different stakeholders has to some degree been nurtured and there is a readiness to talk about issues that previously could have caused disharmony. Despite this, only five out of 30 scheduled workshops (3 days) have been run, with Mt Ayliff being the only area where a workshop around mediation and communication skills has been run with all stakeholders. With the increase in areas to be covered, the number of workshops and trainees have increased. The revised number of planned workshops now stands at 39.

As far as the client sampling is concerned, CDRT in the Kokstad area is largely dependent on the Chiefs and other leaders to determine who attends the workshops. What has been happening is that the Chiefs are keen to have all their leaders trained. The evaluation of the workshops indicate that the skills learned are very useful. The presence of the Justice Centre in Kokstad also made it somewhat easier to get rid of the high suspicion in the area concerning the interference of NGOs.

The issue of the Integrated Dispute Resolution System, leaves CDRT in the dark. CDRT contributed in the research phase to the system (facilitated the visit and research for D. Nina and assistant) but since then little has happened or has been communicated to the organisation. The last meeting scheduled to evaluate this phase of the process has been postponed creating confusion as to their future role in the process. At the same time there is strong interest in piloting the designed system in those areas where all the workshops have been run (e.g. Mt Ayliff), soon after the initial workshops (objective 2).

Resources

The human resource complement, according to CDRT management, is sufficient and adequate except for the financial position that needs to be finalised. Apart from the financial person, CDRT has lost its senior researcher. The person who replaced the researcher and who is responsible for looking at programmatic and impact design needs some assistance in that regard including role within the organisation.

Under the guidance of the PMU, CDRT has implemented effective financial, administrative and management systems. Most of the systems were in place but needed to be refined to meet the criteria and standards of IMMSA/PMU.

Financially, a separate account was opened and disbursement procedures introduced which need to be signed and checked by the project manager.

The office in Braamfontein has regular contact with the coordinator in Kokstad through telephone and e-mail. Furthermore, monthly reports are submitted by the coordinator and trainers after each workshop. There seems to be some confusion about roles of people within the programme, for example, the

coordinator in Kokstad is labeled both the Administration Coordinator and the Project Coordinator. At the same time there seems to be an interest to get more involved in project work. The two fieldworkers expressed interest in having their capacity built (computer, writing and training skills) so that they could participate in the training rather than just be facilitators. The report of the coordinator reflected this as well.

What will be useful to the effective functioning and impact of the programme is the sharing of experiences and information between sub-grantees during meetings and workshops.

In the beginning the relationship with IMMSA/PMU was quite frustrating around the negotiations and the awarding of the contract. However since, it has become much easier and most of issues and problems have been sorted out. With the revision of the implementation plan coming up and taking into account the increase in scope of work, a marginal increase in the budget is expected which will also impact on the travelling costs.

Physically, no further resources are needed.

Impact

As mentioned before, so far five workshops have been held in which 91 people were trained, 20 of them Traditional Leaders. From discussions with trainees (five councilors) in one area (Mt Ayliff), the workshops have been very useful in understanding roles and in getting to know and acquiring the skills of mediation. With the increase to nine areas, CDRT will be substantially increasing the number of trainees.

The first workshop took place in December 1997 and in terms of impact, it is still too early to assess as the training was done in four areas only including the Mt Ayliff area.

So far what seems to be emerging out of the workshops is the participation of the stakeholders in the process and the importance of their commitment to foster further development in the area in a non-violent manner. What emerges is that CDRT staff have no way of ascertaining at this point in time whether trainees are actually using their skills. The proposal is to wait for the implementation of the IDRS to be able to assess this.

CDRT hopes to finish all the planned training programmes in the next 12 months (March 1999) and hopes the IDRS would be in place by then as it sees for itself a role in providing practical support and monitoring as disputes are processed through the system.

The discussion held with trainees show that they know the programme and are aware of what CDRT wants to achieve. The comments they made about

stakeholders were that the churches needed to be included. In terms of communication the request was to make greater use of the Council structures. In this way councilors are able to establish their authority. The training received was rated as very good and well done.

In the beginning of the IMMSA/PMU process there was much suspicion towards IMMSA, in terms of its status as an NGO and whether it should administer grants for other NGOs. CDRT however feels they have benefited through the process as issues have been resolved, creating the environment where they could work with IMMSA as a partner.

According to CDRT, the umbrella programme has helped to get NGOs who previously competed at all cost to survive, to work together in a controlled environment. The fact that this particular programme had a capacity building component attached to it has helped tremendously as NGOs are confronted with new roles. IMMSA has been commended for their understanding of the shortcomings of the NGOs the sector, making assistance more adequate and useful.

In particular the implementation plan process has been deemed very useful in keeping the programme on track yet allowing for corrective action.

In terms of technical assistance, financial support and the recent report writing workshop have been very helpful. CDRT admitted that they would have been more effective in terms of reporting if they had had the workshop at the beginning of the programme. Their suggestion is to agree on one reporting format for all the sub-grantees on the basis of an ideal format as a guideline.

The same is to be said for the monitoring and evaluation component. Had there been a proper (simple but clear) format from the beginning, more useful information could have been captured during the consultations. The M&E workshop in February came very late and provided little guidance in terms of reporting.

Conclusions and recommendations

It is clear that CDRT's programme responded to needs in the area and the initial comments are positive in terms of the way training is happening and the quality of it

Yet, there are issues that need to be looked at if the programme is to be a success

- a strategic plan is needed very soon to look at the structure and role definition of different people (project manager, coordinator, researcher) in the programme
- planning needs to be done in terms of time frames and staff capacity (training of facilitators to become trainers, more involvement of coordinator (?) to cope with the additional areas and to cater for the delays due to the remoteness of the areas and the difficulty of communication
- the IDRS process needs to be evaluated and CDRT needs to be updated on it and be involved in the further planning of the system
- impact indicators need to be looked at very carefully (role for new researcher and monitoring and evaluation component of the IMMSA/PMU programme)

Annexure

List of people interviewed

Renald Morris	CDRT JHB	Director	011 403 8280
Benni Zima	CDRT DBN	Trainer	031 260 1559
Lunga	CDRT DBN	Trainer	031 260 1559
Arthur Van Niekerk	CDRT KOK	Adm Coordinator	037 727 2799
Mandla Mathe	CDRT KOK	Fieldworker	037 727 2799
Za Gwebani	RLC - Mt Ayliff (Chairperson)		037 254 0320
4 other RLC (joint group discussion wit Mr Gwebani)			

King's Basket Trust (KBT)

Introduction to Organisation

The King's Basket Trust (KBT) was established through the initiative of King Makhasonke III to facilitate development within the Kwamhlanga region. The KBT has been involved in a number of community projects, but the USAID grant is the first substantial amount of money that they have had to administer. The KBT originally functioned out of the offices of the King, but now has its own offices in the government building in Kwamhlanga. KBT has a significant presence in the area, because of its direct link to the King, and has been involved in a number of processes of consultation with the Premier of the province. The strength of KBT's local presence appears to have been a significant factor in the award of the grant to it as a single entity, after the withdrawal of ACCORD from the initial negotiation process.

Process of engagement of evaluation team

The team member focusing on KBT conducted an analysis of the documentation relating to the process, as listed in the annexure. She then visited the offices of the project in Kwa-Mhlanga and conducted interviews with the Project Manager, Project Administrator, one of the project trainees and the Chairperson of the Board of Trustees, according to the attached interview schedule. Additional interviews were also conducted with the Special Project Adviser, and the person assisting the KBT on its financial arrangements from the Mpumalanga Finance Corporation. Telephonic interviews were held with trainees identified to work on the project, and potential beneficiaries of the project from surrounding TLCs.

Findings and analysis

Programme

Design

The implementation plan is designed to capture the core objectives of both ensuring organisational sustainability, as well as programmatic impact in terms of facilitating conflict resolution processes in the TLCs and communities.

The KBT has identified as its overall programme objective the creation of "co-operative governance structures in the Northern Highveld of Mpumalanga by providing conflict resolution and mediation skills amongst Traditional Leaders, Local Government and Communities to enhance delivery".

The goals defined by the program are as follows:

- Co-operative governance at Local Government level

- Raising public awareness on Conflict Management
- Reduction in level of conflict within Local Government
- Reduction in level of conflict within communities
- Social development

The program objectives detailed in the implementation plan adequately address the first four goals. Goal number five, Social Development, is less clearly articulated in the implementation plan. While it may be seen as a consequence of achieving the other goals, it does need to be captured in more detail, in order for adequate monitoring to take place on it. The KBT has expressed a broad commitment to ensuring economic growth and development in the region, so the organisation clearly sees this as an important outcome of the USAID grant.

Development

The process of developing the implementation plan was thought to be difficult, but also extremely helpful. The plan is found to be easy to follow and monitor, even though there have been deviations from it. The reporting systems to the PMU are time consuming and too rigorous.

Resources

In terms of the human resources of the KBT, the project budget has made allocations for two core staff members at the office – the Project Manager and Project Administrator, and one Special Project Adviser who devotes 50% of his time to the project. The head of the PMU approved appointments to the project on 20 November 1997.

Specific concerns have arisen about the staffing of the project and the best way in which it can be capacitated to ensure that work is undertaken. In a recent agreement with the PMU, the KBT has decided to split the Project Manager role into two posts, one dealing specifically with Project Management and the other with Training. This was how the staffing was originally conceived of in the proposal presented to the PMU. The current Project Manager has opted for the position of Training Coordinator. Issues of conflict have arisen between the roles of Project Manager and Special Project Adviser, with a lack of clear definition of responsibilities. It is essential that with the creation of a Training Coordinator post, that roles and functions be clearly defined and agreed upon.

The training received by the KBT has had mixed responses. The monitoring and evaluation training session organised by Creative Associates was not seen to be useful and dissatisfaction with it was expressed. It was felt that the training was too prescriptive and did not engage participants enough in the design and conceptual understanding of the process.

The report-writing training was thought to be extremely useful.

Performance/Impact

Program Objectives 1-3 fall within the period being assessed by the mid-term evaluation and therefore progress on each of these will be discussed separately

Program Objective 1 relates to Strengthening the King's Basket Trust capacity for project and conflict management

KBT existed with practically no infrastructure of its own prior to the USAID grant. As mentioned above, use had been made of the King's offices, but KBT had no dedicated personnel and no physical or financial resources of its own. The original conceptualisation of the joint bid between it and ACCORD was that part of these gaps in capacity would be addressed through the support of the much larger and well-resourced NGO. The subsequent withdrawal of ACCORD from the process resulted in specific attention having to be placed on ensuring that KBT could be sufficiently resourced to be able to carry out the work of the project.

Program objective 1 therefore focuses on the strengthening of KBT's internal capacity. A number of issues result out of the progress made with regards to this objective.

In terms of physical resources, offices have been obtained in the government building in Kwa-Mahlanga and well resourced in terms of office equipment. Reports from the Project Manager and Administrator confirm that these resources were received timeously, to enable the work of the project to begin. The only outstanding items identified at present are an additional computer for the Project Manager (which he will only need once he has completed a computer training course) and crockery and cutlery, for which no allocation has been made in the budget. It is unclear at present what will happen to the offices after the period of the grant is over, although the KBT is committed to continue its work on a wide scale.

Due to the fact that there was no project office in place, there were understandably no financial or administrative procedures or systems in place. The Premier personally asked the Mpumalanga Finance Corporation to manage the USAID grant for the KBT, and this is handled at its offices in Nelspruit. It appears at present that set procedures are not yet in place, or are not being adhered to, between the project manager and the MFC. There is a sense of frustration about the manner in which liaison with regards to the account takes place.

The separation of the financial function from the office of the KBT has created some difficulties for the Project Manager, although it was clearly a necessary requirement for both IMSSA and USAID. The Project Manager and the Project Administrator have both indicated the need for themselves to attend financial management courses. This is clearly a necessity, in order to further build the

capacity of the project office and to improve communication between the KBT and the MFC. Communication processes and systems between the KBT and the MFC need to be clarified.

Time was also spent in the initial phase of the project getting systems and procedures into place. This took more time than had initially been allocated.

In terms of the needs assessment for training, a specific needs assessment did not take place in the KBT. There has been some interaction with the PMU about training that is required and the Project Manager has attended two training courses already.

In terms of meeting program objective 2, "Raising public awareness and political commitment to conflict management", the KBT have built on already strong existing links within the community to start making the project known. This does appear to have happened in a fairly uncoordinated manner, with the Project Manager and the Special Project Adviser playing unclear roles within the process. Consultations have been held with a number of TLCs in the area, and with some community structures. The process has proved to be frustrating in some ways, because of the complex context surrounding some of the TLCs. Some of them are difficult to contact, without offices. Concern is raised that not all people who should have been consulted have in fact.

An imbizo was organised in December 1997, in line with Program Objective 2. The outcome of the imbizo is reported differently by various role players. It would seem that, once again, lack of clarification about roles and functions resulted in the event not being as well organised as it should have been and a number of role players have raised concerns with the outcomes of the two day process. Among the concerns expressed are that there was unclear dealings with sponsors of the event and that targeted groups did not in fact attend the meeting. No formal review process was undertaken. A second imbizo was scheduled for 21 March 1998 but due to the problems experienced with the first one, has been delayed until 24 April 1998. More careful preparation has gone into the imbizo and the Premier has confirmed his attendance.

Additional delays in the implementation plan have resulted in Program Objective 3. Ten trainers were due to be trained over the period November to December 1997. This training took place in December 1997 and January 1998. A major issue of contention has arisen around the manner in which the trainers were selected for this process. Some volunteered for the training while others were approached through their involvement in community work. The Project Manager defined the criteria for selection as follows:

- Qualification of experience in training
- Ability to understand course content and to adapt it

- Having training or willing to undergo training in Local Government, so as to have an understanding of the local government sector
- Good reputation
- Ability to communicate in all regional languages
- Good knowledge of communities
- Interpersonal communication skills

The Board of Trustees were extremely concerned that some communities were not represented in the group of trainees and wrote a letter or complaint to the PMU. This resulted in the suspension of the project at the beginning of the year. In order to lift the suspension, the PMU facilitated a meeting at which it was agreed that regular meetings would take place between the Project Manager and the Board, but this does not appear to have been followed through.

Therefore the training process has been put on hold until a new group can be identified. It is unclear what budgetary implications this will have for the project and what will happen to the trainers that have already been trained. It is important to note that the trainees themselves found the training programme conducted by the Centre for Conflict Resolution (CCR) to be extremely good and that it really empowered them because it was highly practical.

Due to this delay, role-players (4 in each locality) have not been trained as yet. In addition, the workshops on the constitution and local government have not as yet been run.

With the creation of an additional post in the team, it is hoped that work can now be accelerated. However, it is essential that issues around approach and methodology be dealt with. Part of the concern raised during the evaluation is that a process of integrating project management processes with traditional practices needs to be found, to ensure that stakeholders do not feel overlooked in the project.

The relationship between the PMU and the Board of Trustees is good. However, relations between the Project Manager and the PMU have become strained, creating a difficult work environment. The reporting mechanisms are felt to be onerous.

Due to the delays experienced on the project, there has been minimal impact as yet. High expectations about the project have been expressed by TLCs already consulted. All role-players within the KBT believe that the process has great potential, although they do view it differently, either as a discrete programme, or as part of much larger initiatives in which the KBT is involved. The strength of the programme is that the Premier has pledged full support to it and work is currently being undertaken with the RDP office.

There has not been a consistent process of reportback between the Project Manager and the Board of Trustees. He meets on an ad hoc basis with the Chairman. Reporting to the KBT is also not always consistent.

Very little contact takes place with the other sub-grantees.

Key achievements for the next twelve months are expected to be

- The integrated dispute resolution system (IDRS) will be in place
- People in communities will have skills to manage conflict
- Economic development will be enhanced because conflict around scarce resources will be minimized and access to land facilitated

Conclusions and Recommendations

Internal problems within the KBT and the project specifically have resulted in progress with the implementation plan being adversely affected. The PMU's role in assisting with these problems has resulted in it becoming involved in internal organisational issues. It appears that a resolution to the current difficulties has been found with the splitting of the Project Management and Training Coordination functions. This will bring additional person power into the project that will ensure better progress is made.

The KBT was initially brought into the USAID process by ACCORD who wanted a local partner and undertook to provide capacity building. The KBT's strong local support made it an appealing awardee, but serious attention has had to be placed on building its internal capacity to perform. Bearing in mind the difficulties that the organisation has experienced to date on the project, it will be important that all roleplayers agree on the new Project Manager when he or she is appointed.

The following recommendations should be noted

- Roles and functions within the team need to be clarified, in line with outputs as they appear on the implementation plan
- The core team members should be trained to understand the financial management process, in order for them to better engage with the MFC
- Clear criteria for selecting trainers should be drawn up through a consultative process and all role players should agree on them. This needs to be done as a matter of urgency.

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King Luthuli Transformation Centre (KLTC)

Introduction to Organisation

The King Luthuli Transformation Centre was established over ten years ago, to work as an anti-apartheid organisation. In light of the new political dispensation, it has shifted its focus towards development facilitation and assisting with the transformation process. It has been involved in conflict resolution work for some time. The target areas of the KLTC are Witbank, Middelburg, Ermelo, Ogies and Belfast in Mpumalanga.

Process of engagement of evaluation team

The team member focusing on KLTC conducted an analysis of the documentation relating to the process, as listed in the annexure. She then visited the offices of the project in Johannesburg and conducted interviews with the Project Manager, Training Officer and Chief Executive Officer according to the attached interview schedule. Telephonic interviews were held with potential beneficiaries of the project from TLCs in the above mentioned areas.

Findings and analysis

Programme

Design

The overall Program Objective as stated by the KLTC is to "Increase respect for authority and law, and strengthen communication skills among people involved in and with newly formed democratic structures related to local government, in the urban and peri-urban areas of Witbank, Middelburg, Ermelo, Ogies and Belfast."

The implementation plan differs in scope from the original proposal submitted by the KLTC. The proposal targeted three provinces and focused on the designing and implementing of a dispute resolution system within government and community structures, as well as training people in communication and negotiation skills, as well as enhancing relationships between project participants.

In its three stated interventions, the implementation plan now focuses on strengthening KLTC's capacity, developing and piloting a training manual on Ubuntu principles in order to develop a framework for managing conflict resolution processes within local government and community structures and finally enhancing dispute resolution, communication and negotiation skills within relevant structures.

What remains central to both the proposal and the implementation plan is the KLTC's commitment to the philosophy of Ubuntu as a key mechanism for addressing conflict. The strong emphasis on communication skills is also of interest because while it is built into the implementation plans of other organisations, it is not as strongly emphasised.

The program budget is significantly reduced from that previously outlined in the proposal (from R771,002 to R345,295). The impact of this will be discussed later.

Development

The development of the implementation plan was found to be extremely useful and this methodology has now been applied in other projects in which KLTC is involved. It is felt that the implementation plan addresses some of the gaps that were identified in the original proposal.

Resources

A number of issues have been raised around the staffing of the project. None of the key staff members working on it are full-time. The project manager and training officer both have a 60% time commitment, and the bookkeeper 20%. The impact of running a project based in Mpumalanga from a Johannesburg office, with essentially two part-time people, has most likely contributed to some of the time delays in the implementation of key activities. The KLTC has proposed to the PMU that an additional person be employed by the project, as a local coordinator. This person would also not be full-time, however.

Part of the rationale of only having part-time staff on the project relates to the KLTC being a well-established and functioning organisation. However, due to the time commitment required by the project, and the distances involved, it is necessary that one person be employed full-time to work within the area of the targeted TLCs. A local base in terms of office space will have to be identified for the person. Negotiations are being undertaken with the targeted TLCs to make use of their facilities.

Training

The training on monitoring and evaluation was found to be extremely problematic. The participants felt that they are now only equipped to fill out the required forms, but do not understand the process and importance of monitoring and evaluation. Due to the importance of M&E to the project, this is problematic.

The report writing training was only attended by the Project Manager, and he could not stay for most of it. He has expressed a wish to attend the workshop again as he believes that it could be of value.

Performance/Impact

Performance according to each of the stated interventions is taking place at different levels

Intervention 1 focuses on strengthening the KLTC's management and logistical capacity to implement the program. Being a well-established organisation, KLTC had an existing infrastructure and staff complement to offer to the project. In terms of identifying staff to work on the program and to establish the project office, this has taken place. No new people have been employed to work on the project. The process of identifying training needs appears to have not happened systematically as not all people involved in the project were aware of the training courses that have been outlined on the training plan provided by the PMU. Only the Project Manager has attended training courses at this stage, although there is a commitment to include other staff during the course of the year.

The KLTC has been through an interactive workshop with the consultant focusing on systems and procedures and found it to be very useful. The organisation has adopted the improved procedures and feel that this is one of the greatest benefits to be derived from the project, for KLTC internally.

In terms of intervention 2, which focuses on the development, piloting and adapting of the training manual on Ubuntu principles, progress has been slower, due to a number of factors.

Leadership in the areas have been contacted and consulted. Detailed needs assessment and planning workshops have taken place in only two of the five areas (Witbank and Middelburg). Project launches are only planned for mid-April, or thereafter, whereas they are outlined to have taken place in November 1997. Formal training processes have not as yet taken place in any of the areas, even though the first one was scheduled to take place in February and March 1998.

The KLTC points to the fact that the implementation plan was not drawn up with a keen sense of conditions on the ground. The importance of obtaining a clearer sense, earlier on, about local conditions, is reflected in their comment that councilors should have been part of the implementation plan workshop.

The reasons for the delays are given as being two-fold. Firstly, the KLTC was not aware of the kinds of tensions and difficulties that existed in the areas in which they are attempting to work. The legitimacy of structures such as the TLC in Belfast have been questioned. The TLC in Ogies was suspended for a period of time. The impact of this on the project has been that the KLTC has found it difficult to identify points of entry into the communities, because councils are in themselves split, officials are discredited and the provincial government is seen to be interfering in local matters. They have now identified the business community as being the most useful access point and are contacting them.

The problems being experienced by the KLTC are not unique to them. The complexities of the local government context are reflected in the range of difficulties being experienced by organisations working with such structures.

The second important factor to note is that in the manner in which the activities that the KLTC have been involved are described, they are not following the implementation plan very closely. Formal training sessions have not as yet taken place, but the process of engagement itself is described as being part of overall capacity building. Different stages have been reached with each of the five target areas. Middelburg is seen as being the most advanced, while recent negotiations with the Witbank TLC have resulted in the Mayor making office space available for the local coordinator who will hopefully be brought on board soon.

Involvement in the IDRS has been limited to attendance at the workshop in Cape Town, and to some discussions in Mpumalanga. It is seen as a mechanism to integrate all programmes in the umbrella grant and to develop a pilot study.

The most significant benefits that KLTC will derive from the grant are seen as being internal capacity building, especially with regards to financial procedures and systems.

The umbrella grant is seen as being a highly beneficial structure through which to manage a grant, particularly by a local organisation that has an understanding of the context within which NGOs work. The KLTC has appreciated the support received by the PMU and feel that the organisation has grown through the process, which is essential if they are going to take part in more competitive bids. The USAID umbrella grant is the first such process in which KLTC has participated. The KLTC originally applied to USAID to manage the umbrella grant itself, but feel that IMSSA was better positioned and resourced to manage it and are satisfied to be working as direct service providers.

The KLTC is satisfied that the process initiated by the RDP office in Mpumalanga will not duplicate or conflict with their programme. If minor amendments are required this would be the natural result of a process of discussion and negotiation and would not necessarily pose a problem to them.

Conclusions and Recommendations

The KLTC has found the umbrella grant to be an extremely positive experience. The difficulties being experienced in the field are viewed as outcomes to be expected from the process of transformation and much work has been done to build the consensus necessary to begin the work outlined in the implementation plan. Due to the additional work required on the project, and the distances to be traveled, the need for a local coordinator is clear. Some caution should be noted that even with the local coordinator, careful management of the process must ensure that the time lost in terms of the implementation plan is compensated for over the next few months.

Possible suggestions to improve the current processes in place that KLTC would like to emphasize are that more frequent workshops for sharing experiences and information should be held. In addition, proper feedback on reports should be given, in order to strengthen internal monitoring and evaluation processes.

The KLTC, having worked in Kwazulu-Natal, feels strongly that if an extension of the USAID grant is given in 1999, it should go to areas not covered by the current grant, such as the Northern Province and KZN. A small additional amount should be made available for some follow-ups in Mpumalanga, to maintain the relationships already developing. The KLTC states strongly, however, that they believe by the end of the eleven month period of this grant, they will have built a core group of trainers who will be able to continue the work of the programme in the region.

The following recommendations are noted:

- A full-time local coordinator should be employed. The local coordinator should be skilled in facilitation and consultation skills, to be equipped to assist the project manager and training officer in the conducting of workshops and discussions.
- The implementation plan should be reviewed and amendments to time frames made where necessary. It would assist the KLTC in planning to make distinctions between the five TLC with which they are working and to plan accordingly as they are at very different stages of readiness for the programme.
- Budgetary items relating to the appointment of the local coordinator and

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WILGESPRUIT FELLOWSHIP CENTRE (WFC)

Introduction to Organisation

Wilgespruit Fellowship Centre has been involved in running conflict resolution programmes, largely since 1994. The centre is well-resourced and, through the Letsema Conflict Transformation Resource, is experienced in general conflict resolution programmes. The focus of the USAID grant programme falls on the design of public participation processes.

Process of engagement of evaluation team

The team member focusing on Wilgespruit conducted an analysis of the documentation relating to the process, as listed in the annexure. She then visited the offices of the project in Roodepoort and conducted interviews with the Project Coordinator, one of the researchers and the coordinators for Mpumalanga and the North West, according to the attached interview schedule. Telephonic interviews were held with beneficiaries who attended the first training programme in Mpumalanga to broadly assess impact.

Findings and analysis

Wilgespruit has taken a specific approach to managing the conflict resolution programme, and that is through developing public participation processes. This focus was seen as a particular strength by the PMU when evaluating their proposal. It is therefore of importance to evaluate whether this approach is being carried through in the implementation of the programme.

Programme

The focus of the programme is reflected in the programme objective in the implementation plan, namely "To build public participation process design competencies, for various local government role players (councillors, officials, amakhosi and civil society) through training, action research, implementation support and case documentation over a project period of 15 months in six localities in the Lowveld area of Mpumalanga and in the eastern region of the North West province. The programme will develop an approach to public participation designs, which can be replicated throughout the country."

Design

Some changes between the original proposal and the implementation plan are noted.

Firstly, the proposal focused on the Western regions of Mpumalanga and the Northern province. Due to IMSSA's decision not to focus on the Northern Province, and the fact that the KBT was already active and had a following in the targeted areas of Mpumalanga, meant that the focus areas of the project shifted, to the Odi and Moretele districts of the North West, and the Lowveld region of Mpumalanga.

Secondly, the plan includes, as the first intervention, a focus on building the capacity of the WFC to manage the project. This was not reflected in the proposal. Finally, the implementation plan has not substantially added to, but rather reorganised, the activities reflected in the proposal.

Development

The implementation plan workshop was found to be extremely useful and has given the team a tool and methodology with which to manage the project.

Resources

The project has full-time staff dedicated to it, which is important to the success of the project. The Project co-ordinator is full-time, as are one of the researchers and the two field facilitators. The Project Manager and Project Co-ordinator had worked with WFC before (the Project Manager is the co-ordinator of the Letsema programme). One of the researchers and the two field facilitators were employed specifically for the project.

The project is well-resourced in terms of carrying out the work outlined in the plan. Three factors should be noted however. Firstly, a difficulty has been encountered with regards to the field facilitators. The project would like to access regional office space for them, in order to assist them with their work, but allocations are not made for this on the budget. Negotiations have been taking place with organisations in the area, but in the case of the Local Government Association of Mpumalanga (LOGAM) in particular, it has been extremely difficult. Secondly, insufficient allocations have been made to the transport budget, and the field facilitators have found it difficult to travel to the TLCs and target communities. Finally, the researchers would like to be able to conduct action research in the field themselves, but there is no allocation on the budget for them to travel. Requests with regards to the acquiring of regional offices, and additional travel expenditure are being made to the PMU.

Performance/Impact

In terms of progress with regards to the implementation plan, a number of factors have affected progress. They will be identified in the relation to each intervention.

Intervention 1 focuses on building the internal capacity of WFC. This has largely taken place according to the implementation plan. Some difficulty was experienced with the appointment of the field facilitators because the project co-ordinator wanted to appoint people from the target areas. When appropriate people could not be found, the current facilitators were sourced through an employment agency. The project team is running well, despite some difficulties encountered in the field. There appears to be slight tension between the PMU utilising the Project Manager as contact person, when he is only dedicated to the project for 20% of his time and not the Project Co-ordinator who works on the project 100% of her time (due to the fact that the Project Manager was overseas during part of the evaluation process, he has not been interviewed on this issue. This may be a point of follow-up that is required.) As outlined above, some problems have been encountered with accessing space in regional offices.

Internal processes within WFC have been strengthened. It was noted that the assistance provided in terms of finances has been particularly valuable and has benefited the organisation enormously. A concern has been raised that additional assistance with internal administrative procedures is not really required and should not be implemented unless the organisation feels it is necessary.

Capacity building has begun for the staff working on the project. The project co-ordinator feels strongly that as many people as possible should attend the training presented by the PMU, and so has requested that additional staff members attend the training sessions that have been held. The training plan of the PMU reflects that additional people from WFC have been accepted on training courses.

The monitoring and evaluation workshop was found to be useful because the format provided has assisted the field facilitators. However, the approach adopted in the workshop was found to be problematic and it is hoped that some of the concerns raised will be addressed in the follow-up workshop in August. It was suggested that perhaps two levels of training should have been considered, to address expectations around monitoring and evaluation theory, as well as practice.

The report writing workshop was found to be very useful by all the staff at WFC who attended it.

An extremely positive factor in terms of team building is that a week-long induction programme was held once all members of the team were recruited. Everyone noted that this was very useful to introduce people to WFC, its philosophy and history, as well as to Letsema and the manner in which the USAID grant is being approached.

Intervention 2 focuses on building relationships in the target area through consultation. A range of consultations have already been held.

The field facilitators feel confident that they have carried out as many of consultations as possible. They do feel concerned that due to the limits of their transport budget, they have not always made it to as many meetings as possible. Consultations in the North West appear to be further ahead, because the co-ordinator has been on board longer, and the complexities around processes in Mpumalanga have slowed the programme down slightly. There is a concern that there is not as yet a clear framework for integrating the IMSSA process with that of the provincial government.

The strong focus on action research reflected in intervention 3 is a strength of how WFC has conceptualised the programme. WFC has directed resources to capturing information about public participation processes and to developing a resource file that will be made available to participants at workshops and also become an internal resource for WFC. The resource file is in the process of being developed. A research specialist (Hanlie van Dyk from the Wits School of Public and Development Management) is being utilised to ensure that the research is consistent and reliable. A workshop on action research has been held to ensure that the research team is working with a common understanding and purpose.

The researchers have experienced some difficulty obtaining information from the field facilitators, who are meant to be keeping research diaries and feed information back to them. Due to the pressures in the field, the facilitators have found it difficult to provide the researchers with the quality of information they require. This is the reason given by the researchers for requiring a travel allocation in order for them to conduct primary research. The extent to which the field facilitators feature in Intervention 3 needs to be addressed because a number of the activities will falter if their capacity to contribute is not built, or an alternative approach to information-gathering adopted.

It was also of interest to the evaluators to identify whether or not a co-ordinated process is taking place between the sub-grantees to capture the learnings from their work. This does not appear to be the case at present. The development of the training manual which WFC would like to see being accredited by the NQF is will be an excellent outcome of the process and it would be important to see how this interacts with the outcomes from the other sub-grantees.

Training of beneficiaries, in line with Intervention 4, has taken place only in Mpumalanga thus far. A number of important factors should be noted with regards to the training process. WFC has chosen to deal with a complex process, that of public participation, as the core focus of their intervention. Little work has been done to formalise such processes in South Africa as yet and WFC felt that their greatest contribution could be to the design of processes that could be implemented elsewhere. The introduction of public participation process design to beneficiaries understandably needs to be handled carefully.

It appears from feedback from participants that the training conducted in Mpumalanga was difficult at times to follow because it was pitched at a high level. In the implementation plan, workshops in conflict resolution and PPP design are dealt with as separate processes, but in the training process in Mpumalanga they were combined into one five-day training process. This caused participants to be unclear about the focus of the process. From this workshop, WFC have decided to again separate the two elements of training for the workshop in the North West to be held later this month. It is important at this stage for WFC to reconfirm the focus of the programme and to ensure that any lack of clarity that currently exists amongst the Mpumalanga beneficiaries is addressed. Additional feedback on the training reflects that it was very useful, but people are unclear about how it should be implemented and where support for implementation will come from. Strong follow-up to support implementation will be required by WFC. This follow-up is reflected in the implementation plan, but perhaps needs to be prioritised now.

It is important to note that WFC undertook a critical reflective process at the end of the training to identify what had worked and where difficulties existed. This is reflected in an evaluation report prepared for the PMU.

An issue of concern was noted, both on the part of WFC and the PMU, about the use of an international expert in PPP design on the project. The issue of the extent to which the PMU, as a funding body, can and should intervene in internal project management should be addressed, in order for a clear understanding to be reached by both parties. The negotiations process will be difficult, but should always be undertaken with the objectives of the project in mind.

From the documentation made available to the evaluators, the standard of reporting is very good and careful attention is being given to the narrative reports. The field facilitators are also taking care to record their activities but, as noted above, time constraints limit the extent to which this can be done and the manner in which it can be integrated into the research process.

The system of monthly reporting is found to be time consuming but a useful project management tool. There is some concern that gaps may be found in the narrative reporting mechanism. The researchers have been brought on board to fill in the monitoring plans, so that the responsibility for monitoring is more broadly spread across the team. There is an expectation from the project team that they will receive consolidated reports from CAII, to keep them informed about the progress of the other sub-grantees. This has not happened as yet.

The umbrella grant is seen to be a useful approach to grant making, because it is important to empower local organisations in these skills, which have traditionally been the reserve of very few people. The period of the grant, however, is seen to be too short, especially on the part of the field facilitators who are aware of the expectations being placed on the programme from potential beneficiaries.

Concern has been reflected about the IDRS and the manner in which it is proceeding. There is concern that the conflict resolution community as a whole is not yet on board. The process around the development of the IDRS needs to be clarified, as it appears that sub-grantees are not sure about the impact that it will have on their implementation plans/

The sustainability of the programme has been considered. It will be taken forward, even without further funding from USAID, through the Capacity Building mission area in the WFC. Discussions have also been undertaken with organisations such as the House of Traditional Leaders about its future.

Conclusions and Recommendations

WFC has designed a well-conceptualised implementation plan that will result both in the development of local capacity as well as materials and resources to be used elsewhere. It will be important to address some of the issues that the team feels are impeding their progress, especially with regards to the transport budget. It will also be necessary to ensure that the focus on the programme is being clearly articulated to beneficiaries, both in the consultation processes, and in the training. Strong follow-ups with beneficiaries will be required.

The following recommendations should be noted:

- Discussions between the PMU and WFC should take place around the allocation of further funds for travel, for both the field facilitators and the researchers.
- The resource file for participants should be reworked to suit different target audiences. The resources are well-chosen and informative, but a summary and list of key learning points would be useful for participants dealing with the subject matter for the first time.
- The training processes on conflict resolution and public participation process design should remain separate, to ensure that participants are able to engage with the content and that the focus of the programme is clear to them.
- Strong follow-up mechanisms should be put in place to ensure that beneficiaries are able to implement the PPP programmes.

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NORTH WEST PARA-LEGAL MOVEMENT (NWPLM)

INTRODUCTION

The North West Para-legal Movement (NWPLM) was launched in 1992 through the initiative of the Lawyers for Human Rights. As an umbrella structure it plays a co-ordinating role for various Advice Centres in the province. The organisation has been involved in a range of programmes such as the Constitutional Bill of Rights Programme and Education for Democracy. The current project on Conflict Resolution in the local government sector is the NWPLM's major project. The target areas of this project is the Klerksdorp District (Schweizer-Reneke, Potchefstroom) and the Vryburg District (Taung, Kuruman and Ganyesa), both located within the Northwest province.

PROCESS

- The midterm evaluation process of the NWPLM was conducted by reviewing documents and interviews. In terms of documents, quarterly reports, the analysis of preliminary assessment, quarterly reports and the programme implementation plan were reviewed.

Presented below are a summary of findings from the review and interviews.

FINDINGS

Programme

In terms of the programme, the following issues were examined:

- Match between existing programme and programme originally submitted (including budget)
- Progress regarding implementation

3.1.1 Match between existing programme and programme originally submitted (including budget)

In terms of the match between the existing and the original programme, there were no significant differences.

The following differences were noted in project objective one. To develop NWPLM capacity further, the need to develop the following were identified:

- basic organisational policy and procedures to strengthen operational capacity
- develop a strategic plan to shape the future of the organisation

This is discussed further under the resources section below.

With regard to issues of budget it was reported that there is still a good match between the budget and the implementation plan. However, this may be impacted depending on how the vacant director position is dealt with (see discussion on Resources below)

3.1.2 Progress regarding implementation

Programme objective 1

In terms of increasing organisational capacity there are a number of activities that still require completion

Activity 2

The director position is still vacant and a new bookkeeper (Ms Ouma Tlali) is currently being trained to take over from the current bookkeeper (Mr Wavell Van Wyk)

Activity 5

Currently a number of the training programmes still have to be completed

Activity 6

Operational office procedures still need to be documented and validated

Activity 7

The strategic planning process still has to be completed

Programme objective 2

With regard to this objective, all activities, consultation, material development and validation, training of trainers and pilot sessions have been completed. Materials have been found to be relevant and areas for improvement have been identified (e.g. LDO's)

However, some areas of concern are raised in this regard

- The amount of time allocated to the training of trainers (2.5 days) is quite short and may impact on really how competent trainers are
- The lack of rigorous evaluation of the pilot workshops (trainers and material). In this regard the evaluation mechanisms were very general (participants responded to an evaluation schedule)

Programme objective 3

The activities (i.e. the conducting of the training workshops) still need to take place. Stakeholders and participants have been identified. However, the implementation plan is quite broad and the absence of more detailed planning with regard to this objective could lead to implementation problems.

Programme objective 4

Currently, very little appears to have happened with regard to the above objective. The intention that the NWPLM staff inform the process through advisory meetings has been hampered by the fact that consultants charged with the responsibility of developing an initial framework have not done so. Thus the NWPLM are currently in a state of limbo with regard to the above objective.

Resources

In this section resources, human, financial, physical and organisational (including systems, policies, procedures and structure), are discussed.

human resources

Interviewees felt that the current staff complement was adequate to manage the programme. However, there are certain problems that need to be addressed as this could have an impact on the longer-term sustainability of the organisation.

- Currently the director post is vacant and the provincial secretary is acting in this position.
- The provincial secretary also plays the role of programme coordinator.

These multiple roles could mean that crucial strategic issues such as ensuring the longer-term sustainability of the organisation will be ignored.

financial resources

Interviewees felt that there is currently a good match between the budget and the programme. This is however impacted upon by the discussion in 3.2.1.

physical resources

Interviewees felt that the physical resources were adequate.

organisational resources

Interviewees reported that a number of processes, establishing proper financial systems, developing offices policies and procedures, linking budget to planning have been put in place. However, they reported that there was a clear need to develop a more long-term strategic plan. The specific request is that this planning deal with issues such as

- structure (role of governing body)
- implications for financial management systems (if we grow)
- what is our specific business
- how to deal with dynamic of independence vs cooperation among advice centres
- future financial viability (accessing different sources)
- trends in the NGO movement

In addition, concern was expressed regarding the extent to which the organisation possessed the necessary monitoring and evaluation capacity. The provincial secretary, who is currently responsible for monitoring and evaluation, expressed the need for further capacity building.

Performance/impact

In this section, interviewees were asked to reflect on how specifically their performance or impact could be measured.

These are stated in relation to each of the objectives

Programme objective 1

- Asking advice centres how they have benefited
- Has the NWPLM developed capacity to sustain itself
- Is management practice up to scratch
- A clear strategic plan has been developed
- Our operational capacity has been built

Programme objective 2

- Quality material has been developed for use in the future
- Good relationships with stakeholders have built
- Stakeholders can articulate their roles clearly
- Documents which capture the roles of the different stakeholders

Programme objective 3

- Stakeholders have developed skills
- Stakeholders can cite instances where they have used their skills (can resolve disputes on their own)
- What conflicts have been successfully dealt with post the training intervention
- Reduced conflict levels

RECOMMENDATIONS

In relation to the above the following recommendations are presented with regard to the following areas

Organisational Resources

- Completion of a detailed strategic plan
 - specific attention on future sustainability (influenced by the audit of Advice Centre needs to identify new needs/business opportunities)
- Development of a structure that will allow efficient implementation of current programme as well as assisting in longer term sustainability
 - Detailed assessment of current duties of the provincial secretary and definite decision regarding to filling of the directors post
- Bolstering of monitoring and evaluation capacity
 - further training of provincial secretary and project manager regarding monitoring and evaluation capacity
 - clearer mechanisms to evaluate training programmes (content, process and impact)

Human Resources

- Ensuring that new bookkeeper has capacity to take over
 - currently there is a good hand over plan in place However this must be supported by the PMU
- Proper evaluation and support of trainers to ensure competence to do training
 - ensuring that trainers are properly capacitated to do training of stakeholders
- Completion of outstanding staff training

Programme

- Development of a more detailed plan regarding programme objective 3
 - when exactly the six workshops will take place
 - what mechanisms are in place to ensure participants turn up
 - have venues been booked etc

ANNEXURE

In terms of interviews, the following people were interviewed

- Mr Hercules Ndlovu – Chairperson of the Provincial Executive Committee
- Mr John Mashaba – Provincial Secretary and Acting Director
- Mr Vusi Chinga – Project Manager
- Mr Wavell Van Wyk (Ouma Tlali) – Bookeeper/Administrator

COMMUNITY CONFLICT MANAGEMENT AND RESOLUTION (CCMR)

INTRODUCTION

The Community Conflict Management and Resolution (CCMR) was established in 1991 by Mr Pat Mkhize and the Black Lawyers Association (BLA) in 1991. Initially, the CCMR had offices in Mpumalanga, Kwazulu Natal and Soweto. Currently, it has its head office in Randburg and its regional office in the Free State. The CCMR has a history of working in areas such as conflict management, dispute resolution, negotiation and mediation, human rights education and prejudice reduction. Currently, the project on Conflict Resolution in the Local Government Sector is the major project that the CCMR focuses on. The Siyabonisa Community Project, as the project is known, is based in the Free State and covers the following areas, Goldfields, Kroonstad and Qwaqwa.

PROCESS

- The midterm evaluation process of the CCMR was conducted by reviewing documents and interviews. In terms of the process, project reports, the analysis of preliminary assessment, quarterly reports and the programme implementation plan were reviewed.

Presented below are a summary of findings from the review and interviews.

FINDINGS

Programme

In terms of the programme, the following issues were examined:

- Match between existing programme and programme originally submitted (including budget)
- Progress regarding implementation

Match between existing programme and programme originally submitted (including budget)

In terms of the match between the existing and the original programme, there were no significant differences.

With regard to issues of budget it was reported that there is still a good match between the budget and the implementation plan. However, with regard to administrative costs, particularly telecommunications, it was felt that this item had been under budgeted and required re-negotiation.

Progress regarding implementation

Programme objective 1

In terms of increasing CCMR's technical and managerial capacity there are a number of activities that still require completion

Activity 1

While the staff allocation has been completed, the regional office has cited the need to urgently consider an additional post, receptionist/admin support person. The current situation is that when the Project Manager and Field Coordinator are out on training or doing project work, the office has to be closed. This causes major inefficiency within the office.

Activity 2

There is a range of staff training that still needs to be completed. Interviewees commented that the monitoring and evaluation training has not met their expectations and that they required further training in that specific area.

In addition, the field coordinator who is currently responsible for office administration has requested capacity building in the area of office administration.

Programme objective 2

Intervention 1

Activity 1

In relation to this activity three broad multi-stakeholder consultative forums have been held as opposed to the focus groups. In addition, the intention is to develop and administer a questionnaire among stakeholders to test the level, nature and cause of conflict in the community. One Transitional Local Council meeting has also been addressed.

Activity 2

With regard to this activity, the CCMR intend to develop the material internally. However the mechanisms to validate and assess the quality of the material is not clear. The deadline for materials being developed has been set as the end of April 1998.

Activity 3

At the time of interviewing (7/4/98) trainers had not been identified. No clear criteria have been established regarding the selection of trainers. The mechanisms to evaluate trainers once they were trained was also not clearly established.

Activities 4,5,6

These activities involve the actual training of stakeholders. A framework for selecting course participants has been developed. However the specific people still need to be identified and briefed. Currently no specific training dates have been scheduled.

Intervention 2

Activity 1

Material have not yet been developed and again it is not clear how material will be evaluated.

Activity 2

At the time of interviewing (7/4/98) trainers had not been identified. No clear criteria has been established regarding the selection of trainers. The mechanisms to evaluate trainers once they were trained was also not clearly established.

Activity 3

This activity involves the actual training of stakeholders. A framework for selecting course participants has not been developed. However the specific people still need to be identified and briefed. Currently no specific training dates have been scheduled.

Programme objective 3

The amount work with regard to the development of the integrated dispute resolution system has been very limited. Interviewees have stated that they are currently awaiting guidance from the PMU.

Resources

In this section resources, human, financial, physical and organisational (including systems, policies, procedures and structure), are discussed.

human resources

Interviewees felt that the current staff complement was adequate to manage the programme. However, it was acknowledged that the need for a receptionist/administrator in the Free State office was overlooked and that this was causing major problems when the regional staff were out in the field (see discussion above)

financial resources

Interviewees felt that there is currently a good match between the budget and the programme. However, it was acknowledged that the telecommunication component had been under-budgeted and may require re-negotiation

physical resources

Interviewees felt that the physical resources in terms of office space were adequate. However, the regional staff are currently using public transport to carry out project work. This is leading to obvious inefficiencies

organisational resources

Interviewees reported that a number of processes, communication, delegation of powers to the regional office, needed sorting out as this would contribute to greater efficiency. This needs to be explored further when the director is interviewed

In addition, concern was expressed regarding the extent to which the organisation possessed the necessary monitoring and evaluation capacity. Both the project manager and field coordinator expressed the need for additional training

Performance/impact

In this section, interviewees were asked to reflect on how specifically their performance or impact could be measured

The following indicators were identified

- Decrease in conflict (measured qualitatively and quantitatively)
- Improved communication between the councilors and the community
- The existence of an IDRS
- Indirectly, an improvement in service delivery because this is where energy will go
- Stakeholders can identify their role
- Documents which capture these different roles
- Testing beneficiary knowledge and skill

RECOMMENDATIONS

In relation to the above the following recommendations are presented with regard to the following areas

Organisational Resources

- Improvement of communication mechanisms between regional and head office
- Clarifying roles and responsibilities through clearer delegation (powers of head office, powers of regions)
- Mechanisms to deal with adhoc problems that are not cater for in the current system of weekly requisitions
- Bolstering of monitoring and evaluation capacity
 - further training of staff
 - clearer mechanisms to evaluate training programmes (content, process and impact)

Human Resources

- the urgent appointment of a receptionist/administrator at the regional office
Proper evaluation and support of trainers to ensure competence to do training
- Completion of outstanding staff training

Programme

- Development of a more detailed plan regarding programme objective 2
 - when and how trainers will be identified
 - how trainers will be evaluated to test their competence
 - what specific dates will the workshops take place
 - what mechanisms are in place to ensure participants turn up
 - have venues been booked etc

Physical Resources

- a strategy (through sponsorship) to acquire a vehicle for the regional office must be developed

ANNEXURE

In terms of interviews, the following people were interviewed

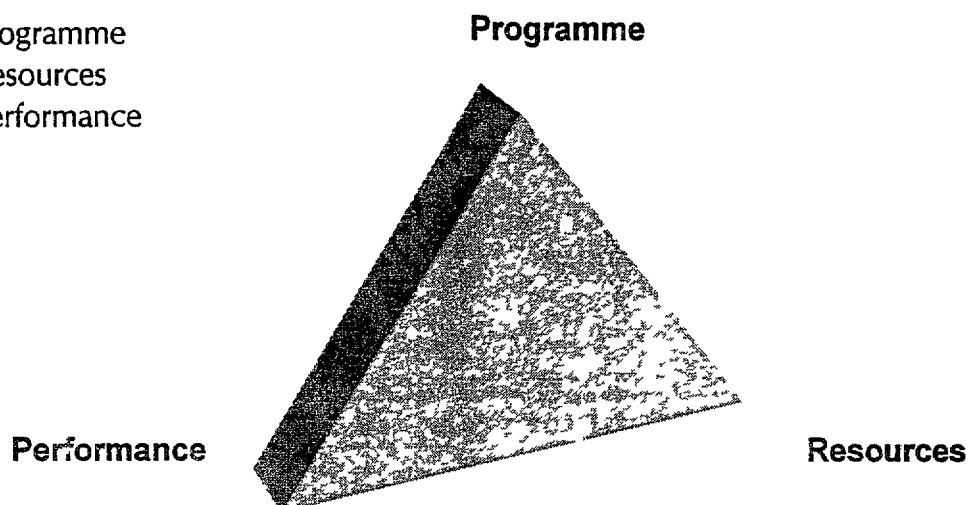
- Mr P Mkhize – Director (still to be interviewed)
- Mr T Liphapang – Project Manager
- Mr Modise Pitsi– Field Coordinator

IMSSA MID-TERM EVALUATION

Evaluation Instrument

The conceptual framework informing the evaluation instrument is based on a relationship between three key elements

- Programme
- Resources
- Performance



- **Programme** refers to the conceptual design and implementation framework of the project
- **Resources** refers to the utilisation and management of human, financial and physical resources
- **Performance** refers to the actual impact of programmes

This methodology will be outlined in detail in the final report

The instrument is divided into two sections. Section One deals with grant-making. Section two deals with Institutional Strengthening and Programmatic Impact.

SECTION ONE Grant-making

1 1 PMU/CREA

Effectiveness in terms of

1 1 1 Selecting the priority sector

- What were the different steps in the prioritisation process?
- Was USAID involved in the initial discussions?
- What suggestions did they make?
- Who was involved in the different stages of the process and what roles were each of them playing?
- Looking at the different steps in the process, would you be able to give an indication of the successfulness of each step?
- Were problems or difficulties incurred?
- Any comments received from the participants in the process that incorporated?
- What were the key criteria in selecting a sector?
- What were the criteria to select the provinces involved?
- Are the sector and the provinces still relevant , one year after the selection was made?
- Any review intention or possibility?
- Was feedback received or requested from or by participants in the process after the selection was made?

1 1 2 Awarding of the grants

- What was the rationale for IMSSA to apply for the umbrella grant contract?

1 1 3 Solicitation of proposals

- What process was used to make the umbrella grant known to the SA NGO/CBO community?
- How were proposals solicited?
- What solicitation material was developed and who was involved in the development of it?
- Why was solicitation used rather than other methods of getting proposals in?
- How did organisations receive the RFA?
- Were comments or suggestions made?
- Has the RFA been changed in any way?

1 1 4 Appraisal

- How many proposals were received?
- Please indicate number received, number falling within the criteria, number of proposals not considered and for what reasons?
- In the appraisal phase, who has been involved in the different steps?
- What process and criteria were/was used?
- What feedback was given to soliciting organisations?

1 1 5 Awarding

- How is the initial assessment done of the received proposals?
- Who is responsible and what are the criteria?
- Are the results of the assessment been minuted and available?
- Is during the assessment a needs analysis been done at the same time? How is it done?
- What are the different steps in the awarding process?
- Who is involved and what is their role?
- Have any modifications been made to the process and the awarding criteria?

- Are assessment reports available for each sub grantee?
- Also for those who were shortlisted and dropped out along the way?

1 1 6 Technical Assistance and Training

- What kind of TA and training is offered by PMU?
- How is/was the assessment done of what TA and T is needed with/by the sub grantees?
- Who is responsible for coordinating and implementing the TA and T?
- Is/was any TA and T provided to the PMU?
- What kind of feedback and follow up is happening after the TA and training has happened?
- What TA and training is going to happen in the coming year (PMU and sub grantees)?
- Are systems (which ones) in place to monitor TA and T needs along the way?
- What are they and how does it work?

1 1 7 Monitoring and evaluation

- How has the monitoring and evaluation aspect of the contract been conceptualised?
- Who is involved and what are the roles of the different parties?
- What process has been put in place?
- Has a monitoring and evaluation plan been put in place for PMU and for the sub-grantees?
- What are the key indicators?
- Who has been developing them?
- What aspects are been monitored and evaluated?
- Has the monitoring and evaluation system lead to any changes and adjustments of the IMMSA programme?

- What difficulties have been encountered developing and implementing the monitoring and evaluation system?
- What process is been used to monitor and evaluate the sub-grantees?
- How does it link with the monitoring and evaluation of PMU?

1 1 8 Financial monitoring

- How and what systems are in place to monitor the finances between PMU/USAID - PMU/CREA - PMU/Sub Grantees?
- Who is responsible for implementing the financial monitoring?
- What difficulties/delays are being experienced?

1 1 9 Management by PMU

- What management system is in place within the PMU in terms of use of resources, finances, staff and staff development?
- How are these monitored?
- How does the workplan get used in this?
- Weaknesses and strengths?

1 1 10 Workplan - Objectives

(Detailed analysis and examination of workplan to form the basis for discussion)

1 2 USAID STANDARDS - PROGRAMME/FINANCIAL

- What has been the background and rationale behind the concept of an cooperative agreement, in particular the umbrella grant with IMMSA?
- What are the advantages and disadvantages seen by USAID with this concept?
- The contract is a year old, any suggestions or modifications?
- What has been the experience so far?
- How does USAID feels about the systems and processes developed and implemented by IMMSA/PMU?

- Has USAID had any input in the process of selecting the priority sector and in the systems been set up to manage and monitor the whole programme?
- How does this programme contribute to USAID strategic objective 1 and in particular to sub result IR 3?
- Does the reporting show how the objectives are being met?
- Are the indicators an adequate measure for the objectives?
- Is there a need to adapt the way of reporting?
- Need to adapt or adjust indicators and sub IR's?
- Is this umbrella grant to be repeated in the future?
- After one year in operation, would USAID make any adjustments in terms of programme and financial standards and in terms of management, if possible?
- What systems and formats are used and required by USAID in terms of the financial side of the programme?
- Have the systems developed been adequate in terms of meeting USAID's standards?
- Has the reporting been sufficient and clear? Any difficulties experienced?

1.3 SUB GRANTEES

Management of their programmes

- What systems have been put in place to manage the IMMSA grant?
- Were these systems in place before the IMMSA grant?
- How is the programme funded by IMMSA/USAID been managed?
- What monitoring systems is in place to look at an effective management of human resources, finances and programmes?
- In terms of the implementation plan, where are the different organisations for the moment (end of Feb 1998)?
- Have there been any delays? Reasons? Remedial action?
- Have you any suggestions, comments regarding the solicitation, awarding and negotiation process between yourself and PMU?

- How does your programme contribute to USAID objectives and sub-results?
- How will the programme develop in the next 12 months?
- What is your opinion in terms of narrative and financial reporting requirements from PMU?
- Have disbursements been going well? Any reasons for delays?
- What kind of assistance and training has been identified as a need?
- How was this done?
- Have you received any training or assistance yet?
- How was that perceived?
- Any suggestions or comments to make?

SECTION 2 Organisational Strengthening and Programme Impact

2.1 Project Management Unit/Creative Associates

2.1.1 Programmes (Planning and Design)

- How did the PMU go about developing and finalising its workplan? In what areas were difficulties experienced in this process? In particular, how has institution building, both of IMSSA and of the sub-grantees, been planned for?
- Were particular areas of need in relation to the programme identified and communicated to USAID? At what points in the process did this take place?
- How has communication and information-sharing with the sub-grantees been facilitated? How is the communication process facilitated between CAII and sub-grantees?
- How did the PMU/CAII develop the institutional assessment tool and were the areas of strengthening identified by it fairly consistent across the sub-grantees?
- Was a particular training needs assessment tool utilised? What was the nature of the information captured by it, both with regards to IMSSA and with regards to the sub-grantees?
- What mechanisms are in place to track the development of institutional capacity, both within IMSSA and the sub-grantees? (e.g. built into reporting framework)
- In its current form, is the results framework clearly articulated and measurable (IR and Sub IRs)? Are the measures described on the Attachment 8 the most appropriate measures to assess impact in terms of the Strategic Objective?
- Are the roles and responsibilities of both IMSSA and CAII clearly articulated in the initial agreement? Are there any areas of confusion or lack of clarity with regards to roles and responsibilities in practice?
- Are the roles and responsibilities of both IMSSA and USAID clearly articulated in the initial agreement? Are there any areas of confusion or lack of clarity with regards to roles and responsibilities in practice?
- What mechanisms does the PMU have in place to capture new knowledge and learning about conflict resolution in relation to local government, both with regards to itself, and with regards to the sub-grantees?

- How have external consultants been identified and contracted to provide services to the project?
- Is the system of reporting between the PMU and the sub-grantees effective? Does it provide an 'early warning' system when problems arise? Has the PMU been made aware of problem areas through mechanisms other than the reporting system (e.g. directly from beneficiaries)?
- How has CAII finalised its workplan in relation to that of the PMU and how has coordination of the joint programme taken place?
- How has CAII identified the points of intervention for monitoring and evaluation training? Have the needs of the sub-grantees been fairly dealt with?
- What changes to the monitoring plan are likely to be made, especially in terms of data being gathered?
- In what way will the Integrated Dispute Resolution Framework contribute to the process of conflict resolution? How will it contribute to knowledge creation around conflict resolution?

2.1.2 Resources (Human, Financial, Physical)

a) Human

- How was the structure and staffing of the PMU decided on? Is the staffing optimal or has the unit experienced lack of capacity in certain areas?
- How have external consultants been identified and contracted to provide services to the project?
- How does the interaction with IMSSA more broadly work? Have there been areas of conflict or confusion in terms of the PMU's role within IMSSA?
- At what points has training on institutional strengthening and technical assistance been received? Was this decided on in relation to certain milestones in the process being reached? Has this timing been appropriate in capacitating staff to perform?
- At what points has training on conflict management, facilitation and process design been received? Was the training effective in equipping PMU staff to understand the field of conflict resolution, in order to effectively implement the programme? If gaps were identified, how were these addressed? Is additional training required?
- Was any training or input provided to assist the PMU in understanding the local government sector, as the target sector? How effective was this?

- What service providers were utilised to provide training? How and why were they selected? How effective was it to utilise the expertise of some sub-grantees in training others?
- What mechanisms have been used to assess the effectiveness of the training programme received by PMU staff? In what areas has the training been particularly useful, and in what areas was it lacking?
- Has any training or capacity building been received by CAII, especially with regards to conflict resolution and conflict management? If so, what was it and how effective has it been?

b) Financial

- Is the financial allocation to the PMU sufficient for it to attain its goals? If not, what additional amount would be required?
- In total, what amount of money has been spent on training? What funds are available for additional training?

c) Physical

- What physical resources is the PMU making use of and are these sufficient to meet the needs of the programme?
- What resources has IMSSA as a whole contributed and what new resources have been obtained for the project?
- What additional resources may be required?

2 1 3 Impact

- What was the outcome of the process of consultations held by the PMU? Has a broader understanding of the programme and its aims and objectives been built? What is the nature of this understanding?
- In the opinion of the PMU, have the areas identified for capacity-building in each of the sub-grantees been addressed? What additional strengthening is required, based on the limited period of the grant?
- Within the given timeframes, are the sub-grantees on track in terms of delivery and has the capacity-building programme assisted them in being able to do this? Please identify which sub-grantees are meeting all requirements, and which are seen to be falling behind? What are the reasons for lack of delivery and how are these being addressed?

- In terms of measuring the success of the programme, what is the relative weight given to increased institutional capacity and to conflict resolution
- To what extent is IMSSA as a whole already experiencing strengthening as a result of the umbrella grant? What are the additional expectations in this regard?
- Has the profile of IMSSA improved significantly? (i.e. greater exposure in areas not previously aware of it, improved relations with significant stakeholders) Are the initial expectations of IMSSA in applying for the grant being met through the current process or are additional interventions required?
- Is the current process, and the institutional capacity of the PMU thought to be sufficient to achieve the impact expected from the umbrella grant? If not, please indicate what additional capacity would be required?
- Is the current process, and the institutional capacity of the sub-grantees thought to be sufficient to achieve the impact expected from the umbrella grant? If not, please indicate what additional capacity would be required?
- To what extent is the monitoring and evaluation system put in place by CAII being adhered to by the PMU and the sub-grantees? If there are variations, what are these and what mechanisms are being put in place to address them?

2.1.4 Additional

- In terms of future evaluation, what do you see as being the key areas of focus? What information do you think should be monitored and collected, in addition to what is already being collected?
- With regards to the long term sustainability of the programme, what do you see as being necessary for its ongoing success? Is this built into the programme for sustaining the sub-grantees?
- Are there any additional comments or questions that you would like to make? Any particular areas of concern?

2 2 Sub-Grantees

2 2 1 Programmes

- Implementation Plan review and design rationale in meeting each objective
- Congruence between initial proposal and implementation plan - justification of variations
- Identification of key results and performance indicators (sources of evidence of performance - number and quality intentions)
- Suggested client sampling for interviewing purposes
 - describe programme intervention
 - describe impact on client
- Contribution to development of integrated dispute resolution system for Local Government facilitated by CCR and D Nino

2 2 2 Resources

a) Human Resources

- Current human resource complement
- Assessment of HR with regards to meeting programmatic and impact designs
- Capacitation congruence with programme activity and objectives
- HR needs for more effective functioning and impact

b) Financial Resources

- Congruence between Programme activity and financial resources budgeted- - rationale
- Further financial resource requirements – rationale
- Feasibility of costing formula used

c) Physical Resources

- Current physical resource capacity that help to facilitate planned impacts
- Further resource requirements - rationale

2.2.3 Impact

- Identify performance targets met per key results
- Identify sources of evidence and performance targets re
 - Extent of role and responsibility clarification between local government and community
 - success of needs assessment approach and framework, re conflict management and dispute resolution
 - community involvement in conflict management
 - reduction of conflict among local government and community
- Planned impact short to long term
- As recipients of capacity building
 - Describe capacity building opportunities accessed to date
 - Identify delivery agents and their appropriateness
 - Describe outcomes in terms of
 - skills transfer
 - knowledge and insight developed
 - information acquired
 - opportunity to apply and reinforce new learnings
- Describe impact on organisational effectiveness by identifying
 - indicators suggesting impact
 - impacts achieved
- Provide recommendations for improvement
- Promotion of sub-grantee sustainability
 - Comment on role of IMSSA
 - Comment on umbrella programme
 - What measures/processes introduced/reinforced re
 - organisational sustainability
 - programme sustainability
 - financial sustainability

2.3 BENEFICIARIES

The following broad framework for questions to beneficiaries is suggested

- Conceptual understanding of what the sub-grantees are trying to do
- Relationship between beneficiaries and sub-grantees
- Beneficiary feedback in terms of feedback regarding the implementation plan (progress)
- Identification of problems/weakness – suggestions from beneficiaries regarding improvement of the process, service delivery etc

Depending on the particular beneficiary (councilors, local government officials, civic organisations, traditional leaders, political parties, civil servants and communities) more specific questions can be asked

2 3 1 Conceptual understanding

- What is your understanding of what (sub-grantee) is trying to achieve through its work with you?
- Would you say that your peers, other members of your organisation have a similar understanding?
- Can you describe what you would like to see as an outcome of this project?
- Is it realistic to think that community members will participate effectively in dispute resolution systems as parties and players?
- Apart from yourself/your organisation, who else is the (sub-grantee) working with as part of this project?
- Are there specific players/stakeholders who should be involved but are not at this stage?

2 3 2 Relationship between beneficiaries and sub-grantees

- Describe how the sub-grantee made contact with you and got you to participate in the project
- Describe what you think your (organisations) role is in this project
- Are you currently fulfilling this role and if not why?
- What mechanisms are in place to facilitate communication and consultation between you and the sub-grantee?

- How often does this communication and consultation happen?
- Do you find the sub-grantee to be accessible as and when you need them?
- How have decisions regarding programme implementation been taken (e.g. who decides who should be trained)?
- If there is disagreement between you and the sub-grantee regarding the project, what is the mechanism for resolving this disagreement?
- Do you perceive the sub-grantee as a professional outfit who are capable of doing what they say they intend to do?

2.3.3 Beneficiary feedback

- Are you aware of the overall programme that the sub-grantee intends to implement?
- What are your expectations specifically in terms of what the sub-grantee will do for/your organisation?
- Describe specifically what the sub-grantee has done for/with you/your organisation thus far?
- Has this been well organised and professionally handled?
- Have you benefited from this intervention thus far? If yes how/if no how?
- Noting what you have said regarding what has been done, please describe what you think the next steps are going to be.
- How long will the sub-grantee be working with you?
- What for you are the current and potential areas of conflict which may require dispute resolution?

2.3.4 Identification of problems/weakness

In terms of the work that the sub-grantee is doing / will do with you

- can you state any concerns, fears reservations you may have?
- can you mention particular areas of weakness that can be improved the relationship between you and the sub-grantee or the particular service that the sub-grantee is rendering?
- can make any general suggestions regarding what can be done to improve the chances of the project being successful?

Glenda Gail White

Senior Consultant Simeka Management Consulting

*Master of Arts in Curriculum Development
Evaluation, Planning and Management
(University of Sussex, U K)
BA (Hons) English
BA
(University of Witwatersrand)*

Background and Relevant Experience

Business Experience

- **Senior Consultant Simeka Management Consulting**
- **Deputy Director (Head of Research) Office of the Premier of Gauteng**
- **Researcher Education Policy Unit, University of Witwatersrand**
- **Organiser and Researcher Election Briefing Unit of the ANC**
- **Teacher for the English Language Improvement Project (TELIP) and Tutor for the Supplementary Education Project**
- **Research Intern Women's National Coalition**
- **Private Tutor**

Career Highlights

- **Currently working on the establishment of a National Parliamentary Service**
- **Organisational Development and Strategic Realignment in the Gauteng Department of Education**
- **Establishment of Research Unit and Resource Centre in the Office of the Premier of Gauteng**
- **Development of training programme in the Premier's Office**
- **Rotary Foundation Scholar at University of Sussex, UK**

- Involvement in briefing and organising work for the Elections Department of the ANC during 1994 elections
- Establishment and development of Fundani Nathi Educational Project

Specific Projects Worked On

- Establishment of a National Parliamentary Service
- Organisational Development in the Gauteng Department of Education
- Performance Management Training
- Development of various training courses
- Establishment of research unit and other appropriate structures in the Premier's Office
- Training Co-Ordination in Premier's Office
- Human Resource Planning for the Presidential Review Commission
- Information Co-Ordination Working Group
- Research practices within government

Research Papers

- Human Resource Planning in the South African Public Service An Analysis of Contexts and Concepts
- Planning with People in Mind A conceptual and Theoretical Investigation of Human Resource Planning
- "Grassroots Foreign Policy"? A case for Provincial Participation in *Indicator South Africa*, Vol 13, No 4 (1996)
- Change Strategies or Strange Chatterings? The Formulation of Grassroots Language Policy in South Africa
- The Role of Community Radio Stations in Local Government Elections (for the Media Monitoring Project)

- **Intergovernmental Relations** Written with Graeme Gotz of the Centre for Policy Studies (forthcoming)
- **The Role of Research in the Gauteng Provincial Government** (forthcoming)

Skills and Competency

- **Knowledge and understanding of transformation in the public service**
- **Understanding of current political and social trends, both within the public and private sectors**
- **Firm grasp of policy trends and priorities**
- **Strong research, conceptualisation and writing skills**
- **Commitments to team work**
- **Development of training curricula and materials**

Gary J Moonsamy

Senior Consultant Simeka Management Consulting

M A - Applied Psychology

Honours - Applied Psychology (Wits)

*B A Majors in Applied Psychology, Industrial
Sociology and History (Wits)*

Background and relevant experience

Business experience

Gary has done a broad range of work in the NGO, government and private sectors. The range of work has included research and evaluation, workshop facilitation, materials development, policy development and consulting activities.

CAREER HIGHLIGHTS

- Co-author of the Annual Survey, South African Institute of Race Relations (three issues)
- Co-developer of Teacher Empowerment Programme - Inset Programme of the Centre for Cognitive Development (CCD)
- Developing a system for evaluating CCD Programme Impact and CCD Organisational Functioning
- Developing 'Whole School Development Programme' for schools in Mamelodi and Atteridgeville
- Developing a programme for Racism and Reconciliation in the workplace
- Developing a Transformational Leadership Programme for senior managers
- Co-author of the book "Reconstructing schools - Management and Development From Within (in press Macmillan Boleswa)

Specific Projects Worked on

- CCD Inservice Teacher Empowerment Programmes in Mamelodi, Tokoza (Gauteng), Thlabane (North West), Lenyenye (Northern Province) and Cape Town
- Impact evaluation of CCD Inservice Programme in Mamelodi and Thlabane
- Initial co-ordination and planning of the Thousand Schools Project in Gauteng province


- Developing and conducting Relationship Building for Randwater
- Consulting and implementing Managing Diversity Initiatives in Eskom, Edgars, Southern Life, OK, Fedlife
- Auditing Eskom's Community Development Funding Criteria, Process and System
- Strategic Repositioning of Eskom's Corporate Communications Unit in the line of pending restructuring
- Auditing and Realigning Eskom's Affirmative Action Policies with new Employment Equity Legislation
- Developing a Draft Transformation Policy and Implementation Strategy for SAFCOL
- Developing a Strategic Plan for the Human Resource Directorate, Department of Labour

Publications And Conference Presentations

- Co-author of book "Reconstructing Schools - Management and Development From Within" (in press Macmillan Boleswa)
- Co-author of paper A Personal Empowerment Programme for Black South African Teachers Paper presented at the 50th Annual Convention of the International Convention of Psychologists, Amsterdam, July 1992
- Reflections on the Evaluation of An In-Service Teacher Programme Paper presented at the Second International Conference on Educational Evaluation and Assessment hosted by the Association for the Study of Evaluation in Education in South Africa (ASEESA), July 1994
- Creating an Environment Supportive of Affirmative Action Paper and workshop presentation at the IIR Conference on Affirmative Action in the Public Sector, June 1996

Skills And Competency

- Research and Evaluation
- Project Design and Management
- Organisational Change and Transformation
- Organisational Development
- Process and Skills Training (Lifeskills)

- 
- **Management Training**
 - **Team Building**
 - **Executive Counselling and Empowerment**
 - **Policy Formulation**

SHAUN GEORGE SAMUELS

Senior Consultant. Simeka Management Consulting

B Social Science (SW)
(University of Cape Town)
Advanced Post Graduate Dip in
Adult Education
(University of Cape Town)
Current MBA
(Henley Business School through
AGN)

Background and relevant experience

Business experience

- ❖ Senior Consultant Simeka Management Consulting
- ❖ Senior Consultant and Manager of the Cape Town division of Labat Anderson (SA)
- ❖ Head of Human Resource Development in the Department of Economic Affairs and RDP of the Western Cape
- ❖ Sole Proprietor of SGS Consultancy
- ❖ Director and shareholder of Safnibuild – National Housing Development Company
- ❖ National Chair of the National Development Implementing Agency
- ❖ National Coordinator of the accredited training of Community Facilitators of the Independent Development Trust (IDT)
- ❖ Chair of the Board of the Montagu Ashton Group (Mag)
- ❖ Chair of the Board of Erase (End Racism and Sexism through Education)
- ❖ Trustee of the Orange Free State Advice Centre Association
- ❖ Co-Chair of the Concepts subcommittee and Manager of the Curriculum Management Team of the South African Vocational, Guidance and Education Association (Savgea)

Curriculum vitae

- ❖ Manager of the Careers Research and Information Centre (Cric) Development Unit

CAREER HIGHLIGHTS

- ❖ Development of a national curriculum policy framework for career guidance and life skills in South Africa for the South African Vocational, Guidance and Education Association
- ❖ Establishment of 15 rural and urban based resource and development centres through South Africa
- ❖ Organisational development, training and facilitation processes involving over 60 organisations in South and Southern Africa, United Kingdom, Chile, Brazil, United States of America, France and Denmark
- ❖ Development of a human resource development policy framework for the Western Cape Province through the Department of Economic Affairs & RDP

PROJECTS WORKED ON

- ❖ Design and presentation of a six month accredited course in child guidance aimed at in-service teacher training
- ❖ Development of an accredited "Development Management" diploma administered by the Port Elizabeth technikon
- ❖ Development of a project appraisal process and mechanism for evaluating RDP related projects on behalf of National and Provincial Government
- ❖ Management consulting for the National Public Works Department focusing specifically on Property Advisory Services and Policy
- ❖ Development of NGO funding priorities for a funding agency called Interfund in Denmark
- ❖ Joint accreditation process of the Development Management Diploma combining the Port Elizabeth Technikon and Unisa

PROJECTS CURRENTLY CURRENTLY WORKING ON

- ❖ Gauteng Department of Education - transformation process and performance management
- ❖ Performance management training for the Department of Land Affairs
- ❖ Performance management training for the Eastern Cape Government involving representatives of all departments
- ❖ Challenges facing the Department of Education of the Northern Cape Province - development of a proposal
- ❖ Team building and strategic planning for the UNDP, UNAIDS, UNETPSA and UNFPA (completed)

CONFERENCES / PAPERS PRESENTED

- ❖ Civil Society and Local Government commissioned by the Land Agricultural Policy Centre (LAPC) - 1995
- ❖ Changing funding needs of NGOs in South Africa, 1994, Denmark

SKILLS AND COMPETENCIES

- ❖ Curriculum design, management and assessment - of skills training and educational programmes including the Logical framework (ZOPP)
- ❖ Design, presentation and assessment of training programmes
- ❖ Organisational development and training including evaluation processes, strategic planning, operational planning, computer database design, among other
- ❖ Human resource development policy formulation and programme design
- ❖ Proposal writing, business plan development and fundraising
- ❖ Computer skills (word processing, graphics, database and spreadsheet) on both Apple and IBM including the design, management and evaluation of training and mentorship programmes and materials development including writing, design and layout
- ❖ Team management, conflict resolution and organisational leadership
- ❖ Project management and business planning
- ❖ Change management and business process re-engineering
- ❖ Performance management

Curriculum Vitae

Yves Wantens

Name	Yves
Surname	Wantens
Date of birth	8 December 1964
Home Address	80 California Street Crosby - Joburg 2092
Telephone	011 - 8376071
Fax	011 - 8376071 or 083 325 8714
E-mail	yves@wn.apc.org
Nationality	South African Permanent Resident ID 641208 5921 18 8
Languages	Flemish - write and speak French - write and speak English - write and speak Spanish - basic knowledge German - basic knowledge Afrikaans understand and speak Zulu - learning
Driver's license	International license (code 08)

EDUCATIONAL QUALIFICATIONS

High School Sint-Aloysius College Ninove
Latin/Mathematics

Tertiary Education

University Attended Catholic University of Louvain
Belgium
1981 - 1986

Degrees obtained Honours Degree in Applied Economics

Masters Degree in Applied Economics

Main Courses Psycho-sociological problems in
International Business, Management problems in
developing countries, Industrial Relations,
Organisational Behaviour, Behavioural decision
making, Individual, group and organisational
behaviour, Advanced Development Economics,
Consumer Behaviour and Advertising, Econometrics,
Commercial Psychology, International Marketing,
Retailing, Accountancy (general - cost accounting),
Macro and Micro Economics,

Ph D in Applied Economics, topic Role of International
Licences in the East - West Trade during the 1980'-s (not
yet completed)

High School Teacher's Degree (Economics, Computer
Science and Accountancy)

Spanish Language Course - 2 years

Other

1993 Course in evaluation - auto evaluation Brussels - Belgium

1994 Zulu course Joburg - RSA

1995 Training course in Project Cycle Management
GTZ (ZOPP - Logical framework) Harare - Zimbabwe

Course in Fundraising / Marketing Cape Town - RSA

EMPLOYMENT HISTORY

1986-1988

Employer	National Department of Economics
Position	Head of Retailing Service
Responsibilities	Co-ordinating the functions of the service Duties included making decisions on the implementations of projects, preparing written material for civil servant meetings, taking decisions to ministerial level when needed, implementing the legislation ,

1988-1989

Military Service

1989-1990

Employer	National Department of Economics
Position	Head of Retailing Service
Responsibilities	As above

1990-1991

Employer	Institute H Harten
Position	Teacher
Responsibilities	Teaching economics, computer-science, foreign trade and accountancy

1991-1994

Employer	Broederlijk Delen NGO - Cidse network (European and North American NGOs)-Brussels
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Position	Project Officer - Africa Desk
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1991/1992 Project officer for South Africa, Zaire, Ethiopia, Tanzania, Mozambique, Zimbabwe, Namibia, Madagascar, Zambia

1992/1993 Project officer for Zaire, South Africa, Ethiopia and Tanzania

1993/1994 Project officer for South Africa and Zaire

Responsibilities Making field-trips to the above - mentioned countries (South Africa, Zaire, Ethiopia, Somalia, Kenya, Rep of Congo), identifying new partners in these areas, follow-up of administration and budgets of projects, networking with various organisations and linking them with one another, keeping abreast with the socio-political and economic developments in these countries, lobbying on different issues related to these countries, developing and maintaining a co-funding relationship with the Belgian Government and the European Union, identifying potential candidates to participate in the various campaigns of Broederlijk Delen and its sister organisations, participate in the education campaign of Broederlijk Delen by producing booklets and conducting workshops and giving talks on these countries

Networking responsibilities include member of Cidse (co-ordinating body of Catholic funding NGO's in Europe, Canada and the USA) working groups on Africa Zaire and Southern Africa, President of the Cidse Southern Africa Working Group until June 1994, member of several national lobby and working groups on Zaire and South Africa, member of European NGO Liason Committee Ad Hoc Working Group on Southern Africa as a delegate of the Belgian NGO's, member of the Development Committee of the SACBC (Southern Africa Catholic Bishops Conference) representing Cidse, participating in conferences, study groups and workshops, participating in Cidse meetings (Paris, London, Rome, Aachen, Montreal, Holland, Brussels,),

Organising activities co-organised a workshop in Feb 1994 in Joburg on land and shelter, organising of regular international meetings of the Cidse Southern Africa Working Group, co-organised of a group of Belgian international observers in the South African elections, prepared and participated in two delegations to Zaire of NGO representatives and Belgian parliamentarians in 1992),

Reason for wanting to leave emigration to South Africa

June 1994 - January 1996

Employer SACBC
Position Project and Training Officer

Responsibilities (Assessing projects proposals for EU - funding, assisting in writing proposals and compiling report , facilitating workshops on Project Cycle Management, ZOPP (Logical Framework)and DELTA, visiting projects, assisting local groups in capacity building, planning and budgeting

September 94 - June 1995

Seconded by SACBC to IBI (Independent Board of Inquiry - 4 days a week) - NGO started after the poisoning of Frank Chikane

Position Director
Responsibilities day to day management, financial management, networking with other Human Rights Organisations, Board - Staff relations, liaising with press and provided information to Belgian radio and European NGO's on a regular basis, fundraising, representing IBI, setting out directions, co-ordinating activities of IBI, Strategic and Operational Planning,

June 1995 - Jan 1996

Seconded to ESP as a Financial and Fundraising Manager

February 1996 - July 1996

Development Consultant

Initially part-time as a consultant for CBDP, Safawu, CWD, SACBC, Tshepiso Community, Zanendaba, TURP, IHU, IBI, ESP and other groups, later consultancy became full-time contracts were and are carried out for CBDP, Peace Corps, RDSN, DRC, Thuthuka Community Engineering, Zanendaba, SACBC, RSS, BRC, Alexandra Civic (ATREC), Sached - ODA, Ekangala RDP, JEP , Department of Education, JET,

The fields of involvement are

Strategic and Operational Planning
Project (Cycle) Management
OD
ZOPP and Logical Framework
Fundraising
Evaluation
Alternative financing

Sectors

Rural Development, Education, Institution and Capacity Building, Unions, Human Rights

August 1996 - June 1997

Overall Manager for Thuthuka Community Engineering and Development

NGO is involved in Water Supply, Sanitation, Capacity Training in Rural Natal. My responsibility revolves around the monitoring of the administrative and financial systems in the four offices, the lobby and the networking, co-ordination of research, fundraising, , Thuthuka is part of a national network where I am responsible for handling the EU contract and the lobbying and networking for the network as a whole

Other member organisations are RSS in Eastern Cape and Tsogang in Northern Province

July 1997 - Full time National Coordinator of RDSN (RDSN, EDA, TCOE, TSOGANG, THUTHUKA, RSS, ACAT, RCF)

Other 1994 -

Advising the Belgian Embassy on a voluntary basis (putting programmes together for visiting delegations etc,)

COMMUNITY ACTIVITIES

1985 - 1994

President of the Board of an alternative Third World Shop in collaboration with Oxfam

1987

Voluntary worker (one day a week) for NCOS, the umbrella organisation for flemish ngo's

1988

Member of the Third World Study Group of the Green Party

1990 - 1994

Member of editorship of Noord Zuid Cahier, a flemish focussing on third world issues

1990 - 1994

Involved in preparing exposures for young people to Guatemala and Mexico ,Participated in an exchange exposure program and lived in Guatemala for three months with indigenous communities in the mountains of Alta Verapaz

Member of a think tank of 'Jongeren en de Wereld' - an NGO promoting exchanges and networking with youth in the North and the South

Involved in Human Rights Work around Guatemala and El Salvador (Member of Belgian and European Co-ordination of Guatemala Support Committees)

1994
1997

International Election Observer - Kimberley
Board member of Thuthuka, Tell

HOBBIES

Hiking, athletics, soccer, music

REFEREES

- 1 Sibongile Mkhabela
RDP - NGO Liason Person
Tel 011 - 3559455
Tel Home 011 - 648 78 64

- 2 Frank Meintjies
Ex - Chief Director RDP
Human Resources, Capacity Building and South African Ngo's
Union Buildings
0001 Pretoria

New tel number 011 880 6198

- 3 Lucy Abrahams - Nyembe
Commissioner Public Service Commission Gauteng
Johannesburg
Tel 011 333 4751
 082 5697675
Tel Home 011 837 7391

- 4 Sean O'Leary
Secr Gen Justice and Peace
SACBC - Pretoria

Tel 012 - 3236458

- 5 Prof Yash Tandon
Harare
Zimbabwe

Tel 09 263 4 499079

- 6 Dorothy Guerrero
Institute for Popular Democracy Manila
ISS - The Hague

Email PAD956707@iss nl

PEOPLE THAT HAVE BEEN INTERVIEWED

IMSSA/PMU Cyrilla Bwakira
 Lionel Janari
 Andries Mangokwana
National Director Thabo Ndabeni

CAII Julianne Moodley
 Jan Rockcliffe-king

USAID Ray Lynch
 Nomea Masihlelo
 Vusi Nkambule

CCR
 All staff members At a staff meeting
 Rodney Dreyer Project Co-ordinator
 VuyoKazi Matanya Book keeper
 Cavin Davids Accountant
 Eldred de Klerk Trainer / mediator

QUAKER PEACE CENTRE
 Jeremy Routledge as the Project Manager
 Georgina Mbambo as the Trainer / Consultant
 Albert Dayile as the Trainer

UMAC
 Director Alicia Pieterse
 Assistant Bookkeeper Marcus Coetzee
 Project Manager Mark Jansen

CDRT
 Renald Morris CDRT JHB Director 011 403 8280
 Benni Zima CDRT DBN Trainer 031 260 1559
 Lunga CDRT DBN Trainer 031 260 1559
 Arthur Van Niekerk CDRT KOK Adm Coordinator 037 727 2799
 Mandla Mathe CDRT KOK Fieldworker 037 727 2799
 Za Gwebani RLC - Mt Ayliff (Chairperson) 037 254 0320
 4 other RLC (joint group discussion wit Mr Gwebani)

KBT
 Mike Seipiri Project Manager KBT (013) 947-2913
 Simon Ngubeni Special Project Adviser KBT 082 781 2164
 Mr Maseko Chairman, Board of Trustees KBT(013) 947-2913
 Dimaktso Mahlabane Project Administrator KBT (013) 947-2913
 Rosemary Monyamane Trainee KBT 082 968 1778

IMSSA Mid-term Evaluation process

Peter Mabena	Trainee KBT	(013) 947-2715
Mbibane TLC	CEO	(013) 973-5408/19

KLTC

Rev Tshawane	CEO KLTC	(011) 331-1232
David Kgabodisu	Project Manager KLTC	(011) 331-1232
Seth Mazibuko	Staff Trainer KLTC	(011) 331-1232
Clr Grace Castle	Deputy Mayor Witbank TLC	082 966 2717
Mr Radebe	Ogies TLC	(0135) 656-6611

WILGESPRUIT FELLOWSHIP CENTRE

Yvette Geyer	Project Co-ordinator	(011) 768-1310
Ouma Maswabi	Researcher	(011) 768-1310
Hector Ramolela	Co-ordinator North West	(011) 768-1310
Tebogo Maoka	Co-ordinator Mpumalanga	(011) 768-1310
T Mokoena	Member RDC, Mpumalanga	(013) 798-3245
E Sebathe	Member Water Committee, Mpumalanga	(013) 988-4002
Cinderella Marule	Administrator Pilgrims Rest RC	0834429953
Zwakele Maseko	Member Lowveld Escarpment District Council	(013) 755-2580

NORTH WEST PARA-LEGAL MOVEMENT

- Mr Hercules Ndlovu – Chairperson of the Provincial Executive Committee
- Mr John Mashaba – Provincial Secretary and Acting Director
- Mr Vusi Chinga – Project Manager
- Mr Wavell Van Wyk (Ouma Tlali) – Bookkeeper/Administrator

CCMR

- Mr P Mkhize – Director
- Mr T Liphapang – Project Manager
- Mr Modise Pitsi – Field Coordinator

BIBLIOGRAPHY OF SOURCES CONSULTED

- 📁 Applications (RFAs) of all Sub grantees
- 📁 Implementation plans of all Sub grantees including revised plans
- 📁 Progress reports of sub grantees
- 📁 Project monitoring plans of sub grantees
- 📁 Cooperative agreements of sub grantees
- 📁 Revised cooperative agreements of sub grantees
- 📁 Definition, approach, methodology and workplan for the evaluation component
- 📁 USAID cooperative agreement including the revised agreement
- 📁 Research findings
- 📁 Focus group discussion on priority sectors and criteria for funding
- 📁 PMU workplans
- 📁 PMU progress report
- 📁 CAII quarterly reports
- 📁 Report on the implementation plan workshop held in Johannesburg
- 📁 Preliminary assessment of prospective sub grantees
- 📁 Request for Application (RFA)
- 📁 Performance monitoring plan
- 📁 Attachment 8

IMSSA MID-TERM EVALUATION PROCESS**WORKPLAN****19 March 1998**

Focus	Project Management Unit (PMU) of the Independent Mediation Services of South Africa (IMSSA), administering the Umbrella Grant of USAID
Period of Evaluation	17 March – 30 April 1998
Evaluation Team	Glenda White Yves Wantens Gary Moonsammy Shaun Samuels
Purpose of evaluation	<p>A mid-term evaluation to assess</p> <ul style="list-style-type: none">• The effectiveness, timeliness and appropriateness of the processes that IMSSA's Project Management Unit (PMU) has put in place for grants making and management• The effectiveness and appropriateness of IMSSA's planning for, and implementation of, training for sub-grantees and its own capacity building• The extent to which the capacity building provided has assisted the sub-grantees in implementing their programs under the umbrella grant• The degree to which the program is likely to achieve impact in establishing and bolstering conflict resolution mechanisms at community level
Approach	<ul style="list-style-type: none">• Phase 1 Design and Document Review• Phase 2 Data Gathering and Validation• Phase 3 Analysis and Reporting

Phase 1 Design and Document Review

ACTIVITY	METHODOLOGY	RESPONSIBILITY	TIME FRAME	OUTPUT
Introductory meeting between client and team	Group Discussion between team of evaluators, CAI and IMSSA	CAI	17 March 1998	<ul style="list-style-type: none"> • Clear understanding of the evaluation brief • Handing over of documentation
Workplan development	Group planning session	Evaluation Team	18 March 1998	<ul style="list-style-type: none"> • Workplan outlining approach, activities, timeframes and outputs
Conceptual Design and Confirmation of Methodology	Group discussion	Evaluation	18 March 1998	<ul style="list-style-type: none"> • Conceptual framework forming the basis for instrument design
Submission of Workplan		Team Leader	19 March 1998	<ul style="list-style-type: none"> • Workplan document
Instrument Design	<ul style="list-style-type: none"> • Design of sub-sections of the instrument by individual evaluators • Group consolidation 	Evaluation Team	20 March 1998	<ul style="list-style-type: none"> • Evaluation instrument
Document Review	<ul style="list-style-type: none"> • Reviewing of all documentation by each evaluator 	Evaluation Team	19-20 March 1998	<ul style="list-style-type: none"> • Critical issues and areas of investigation reflected in the instrument design

Phase 2 Data Gathering and Validation

ACTIVITY	METHODOLOGY	RESPONSIBILITY	TIME FRAME	OUTPUT
Data Gathering from Donor Agency and Grantee	<ul style="list-style-type: none"> • Preliminary interviews with key personnel in USAID, IMSSA, CAII • Sourcing of additional material 	Yves Wantens Glenda White	23-27 March 1998	Preliminary information gathered from donor and grantee
Data Gathering from Sub-grantees and beneficiaries	<ul style="list-style-type: none"> • Face-to-face interviews with key personnel in nine sub-grantees, identified beneficiaries and relevant stakeholders and two organisations withdrawn from process • Telephonic interviews with some beneficiaries to validate information gathered • Sourcing of additional material 	Evaluation Team	23 March -27 March 1998	Detailed information gathered from sub-grantees and beneficiaries

ACTIVITY	METHODOLOGY	RESPONSIBILITY	TIME FRAME	OUTPUT
Validation of Instrument and Preparation of Annotated Report Outline	Team discussion	Evaluation Team	26 March 1998	<ul style="list-style-type: none"> • Evaluation instrument validated • Problem areas identified and communicated to CREA • Annotated report outline developed
Submission of Annotated Report Outlined		Team Leader	27 March 1998	<ul style="list-style-type: none"> • Annotated report outline
Consolidation of Research Findings	Follow-up interviews with USAID, IMSSA and CAII, based on information gathered from sub-grantees and beneficiaries	Evaluation team	5-7 April 1998	<ul style="list-style-type: none"> • Consolidation of research findings

155

Phase 3 Analysis and Reporting

ACTIVITY	METHODOLOGY	RESPONSIBILITY	TIME FRAME	OUTPUT
Preparation of Sections for Final Report	Sections written up by individual evaluators	Evaluation Team	6-7 April 1998	Information gathered during Phase 2 consolidated in written form
Submission of sections		Evaluation Team	7 April 1998	Sections submitted to team leader for consolidation
Consolidation of research findings for draft report	Individual sections synthesised into format for draft report	Team Leader	8 April 1998	Initial draft report
Finalisation of draft report	Group discussion to collectively synthesise findings and recommendations	Evaluation Team	9 April 1998	<ul style="list-style-type: none"> • Clear understanding of the overall findings of the evaluation • Identification of any possible follow-ups required • Agreed upon recommendations
Editing and layout of final report		Team Leader	10-13 April 1998	Draft report
Submission of draft report		Team Leader	14 April 1998	Draft report
Comments received from PMU and CREA		Team Leader	20 April 1998	Detailed comments about the draft report

ACTIVITY	METHODOLOGY	RESPONSIBILITY	TIME FRAME	OUTPUT
Consolidation of final report	<ul style="list-style-type: none">• Group discussion, if necessary, to address issues raised through the comments• Editing and layout	Evaluation Team Team Leader	21-23 April 1998	Final Report
Submission of Final Report		Team Leader	24 April 1998	Final Report
Presentation of Findings	Summarised presentation of findings and recommendations to IMSSA, CAII and USAID, sub-grantees	Evaluation Team Team Leader	30 April 1998	Reportback process to organisations involved in evaluation completed

REPORTBACK TO STAKEHOLDERS

30 April 1998

Wilgespruit Fellowship Centre

Attendees Representatives of USAID, IMSSA, PMU, CAII, sub-grantees
Representatives of the evaluation team – Glenda White and
Shaun Samuels

A presentation on the mid-term evaluation was provided by the evaluation team, and is attached as an annexure to this summary

Discussion on the report and the presentation was divided for purposes of convenience into two sets of issues

- 1 Issues to be incorporated by the evaluators into the final report
- 2 Issues to be taken forward and addressed by the PMU and sub-grantees

1 Issues to be incorporated by the evaluators into the final report

The evaluators were asked to address points relating to the following areas in the report

- The institutional assessment tool
- The IDRS
- The distinction between training and technical assistance
- The revision of workplans
- The content of the executive summary

Adjustments have been made accordingly

2 Issues to be taken forward and addressed by the PMU and sub-grantees

- **Revision of workplans**

It was agreed that the process of revising workplans should not be one involving a great deal of time and effort and should rather be carried out by each sub-grantee, according to its individual needs. It should not result in disruption of programmes, but rather be a value-adding exercise that will ultimately result in better impact for beneficiaries. The reassessment of training needs and technical assistance should take place in this spirit as well. In addition, care should be taken to reflect the difference between training needs and technical assistance requirements of sub-grantees.

- **Development of tools for monitoring performance**

The role of CAI in developing tools for use by sub-grantees needs to be further clarified. Sub-grantees should jointly decide whether or not they want one standard set of tools, or rather want to develop their own tools and systems.

- **Database**

It was emphasised that the database should only carry project specific information and not duplicate information that it stored elsewhere.

- **PMU's role in co-ordinating capturing of intellectual capital**

It was agreed that the PMU should play some kind of co-ordinating role in terms of quality assurance and the sharing of information. However, it was felt that a role too strongly directive would impact upon the functioning of sub-grantees and that this was not desirable. Further discussions in this regard would have to be undertaken. Similarly, the PMU's role in assisting organisations with developing strategies for sustainability would have to be clearly defined.

- **Final evaluation issues**

The extent to which impact can be assessed was discussed at length. It was felt that some form of impact in terms of conflict resolution should be measured but that this needs to be carefully defined and the appropriate information-gathering tools put in place now. It was decided that evaluation issues should be placed as a standard agenda item for Project Manager Meetings.

Attention should also be placed on the manner in which the conflict resolution community as a whole has engaged with the umbrella grant, the extent to which they think it has been successful and the manner in which it has raised the profile of the South African conflict resolution community as a whole.

The meeting concluded with sub-grantees being invited to contact the evaluators with any additional points that they wished to raise.



USAID Agreement No: 674-0301-A-00-6086-01

**Mid-term evaluation of the umbrella grant
awarded to the Independent Mediation
Services of South Africa (IMSSA)**

Reportback to stakeholders

Wilgespruit, 30 April 1998



Nature of Mid-term Evaluation

- Outlined in contract between USAID and IMSSA. Key deliverable of Creative Associates in terms of sub-contracting arrangement. Outlined as Activity 4 in the PMU workplan
- Due to be undertaken late last year but due to delays in grant-making process, scheduled for April 1998
- Team contracted to undertake evaluation: Glenda White, Shaun Samuels, Gary Moonsammy, Yves Wantens
- Period of 16 March 1998 - 14 April 1998



Outline of Brief

- To assess performance within four broad areas:
 - Effectiveness, timeliness and appropriateness of the processes that IMSSA's PMU has put in place for grant-making and management
 - Effectiveness and appropriateness of IMSSA's planning for, and implementation of, training for sub-grantees and its own capacity building
 - The extent to which the capacity building provided has assisted the sub-grantees in implementing programmes
 - The degree to which the programme is likely to achieve impact in establishing conflict resolution mechanisms



Focus Areas

- Grant-making Process
- Organisational Strengthening and Sustainability (Institution Building)
- Programmatic Impact
- Final Evaluation Issues



Methodology and Approach

- Formative Evaluation
- Phased Approach:
 - Design and Document Review
 - Data-Gathering and Validation
 - Analysis and Reporting
- Conceptual Framework for Analysis
 - Resources
 - Programme
 - Impact
- Sampling Frame
 - USAID, IMSSA/, PMU, CAIL, sub-grantees (Directors, Project Managers, Field Co-ordinators, Accounting staff, Beneficiaries)



Overall Finding

The umbrella grant is a valuable model for grant-making in South Africa. IMSSA/PMU, together with USAID, has developed an implementation plan which is giving expression to the spirit of the co-operative agreement.

Sub-grantees are benefiting from involvement in the grant



Grant-making

- The selection of the priority sector for funding was well executed. Local government an appropriate area of focus
- Solicitation of proposals, issuing of RFAs and awarding of grants well conceptualised and implemented
 - Delays related to development of appropriate tools and receipt of good proposals
 - Dual emphasis on programmatic coherence and institutional capacity reflects emphasis of USAID programme
 - Implementation plan workshops beneficial - reflected in changes of resubmitted proposals



Grant-making

- Technical assistance and training a core element of programme:
 - PMU has prioritised assistance and is seen as accessible and helpful
 - Assistance with financial systems has been greatly appreciated
 - Training plan reflects organisational needs but may have gaps due to institutional assessment tool applied in awarding of grants
- RECOMMENDATION:
 - *PMU should conduct review process to assess whether or not key capacity-building needs are being addressed Timing of courses also needs to be revisited*



Grant-making

- Financial monitoring and systems in place
 - Some misunderstanding of systems
 - Significant capacity building required
- Analysis of expenditure reflects that certain line items have been under-budgeted
 - PMU - travel and consultants, possibly TA and training
 - Sub-grantees - travel and tools for programmatic impact
- RECOMMENDATION
 - *During review of implementation plans, attention should be given to budgetary line items*



Grant-making

- Monitoring and evaluation core component of programme.
 - M&E plans in place. Nature of information being captured to be revisited. Attention to be paid to tools being used to assess training materials and courses
 - RECOMMENDATION
 - *CAI to assist in the development of tools for assessing performance related information Training materials, train-the trainer process and effectiveness*
- Training on M&E has taken place Differing expectations
- RECOMMENDATION
- *Further training to take place focusing on improving quality of reporting and ensuring sub-grantees understand the database*



Grant-making

- Monitoring and evaluation core component of programme
 - Database in the process of being finalised
 - RECOMMENDATION
 - *Database should be operationalised to ensure easy access, appropriate data frames, information on TA and training, materials development, beneficiaries captured, as well as qualitative data*
- M&E not clearly integrated into programme
 - RECOMMENDATION
 - *Project monitor to be appointed as soon as possible*
- IDRS not involved M&E to date
 - RECOMMENDATION
 - *Mechanisms put in place for CAI to monitor IDRS*



Grant-making

- PMU achieved activities to date outlined in workplan Delays negotiated with USAID
- Compliance with USAID programmatic and financial standards. Arrangement made to ensure no delays around payment procedure
- General delays experienced with sub-grantee programmes.
 - Underestimation of complexity of sector
 - RECOMMENDATION
 - *Review of sub-grantee plans to take place, bearing in mind additional demands being placed on the sub-grantees*



Institution-building

- Structures, processes and systems of PMU appropriate. Staff well-equipped for the outlined activities
- Role of the PMU in capturing knowledge and intellectual capital unclear
 - RECOMMENDATION
 - *PMU and sub-grantees to define clearer process for integrating new learning and knowledge. Sub-grantees to indicate level of willingness*
- IMSSA has benefited from the umbrella grant:
 - strategically
 - operationally



Institution-building

- Institutional assessment tool lacks coherence and confuses issues of general capacity and specific sub-grant capacity:
 - does not provide sufficient baseline data
 - not consistently implemented
 - RECOMMENDATION
 - *Tool to be revised and second round of institutional assessments to take place, to establish baseline information and match between current capacity and implementation plan*
- Good capacity-building has taken place. Some gaps identified
 - RECOMMENDATION
 - *Sub-grantees to proactively identify needs and work on building capacity*

Institution-building

- Review of implementation plans to take into account broader issues relating to impact
 - RECOMMENDATION
 - *Plans should reflect processes that unfold in the moving towards capacity building*
 - *Should reflect all value-adding processes and in-depth interactions, to ensure impact for the beneficiary*
- Serious attention must be placed on sustainability:
 - RECOMMENDATION
 - *All sub-grantees, with assistance of PMU to develop sustainability strategies and identify related capacity-building requirements*
 - *Sharing of ideas in this regard to take place*

Institution-building

- Understandably little evidence of programmatic impact.



Final evaluation issues

- Increased community involvement in conflict management
 - detailed community baseline data to be gathered
 - conflict resolution case studies to be documented
 - sub-grantees to track valuable information
- Reduction of conflict amongst local government and communities
 - similar baseline to be collected
 - current conflict to be tracked
- Positive and negative results of programme
 - particular attention to be given to negative results, as learning points

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Final evaluation issues

- Other Impact Issues
 - Enhancing of profile of sub-grantees
 - Assessment of umbrella approach on sector, with similar and dissimilar programmes